DOCUMENT RESUME

ED 139 813	TM 006 073
TITLE	Social Work Education Planning & Assessment System: Handbook of Fundamental Assessment Concepts; Manual for Project Managers; Appendices.
INSTITUTION	Social and Rehabilitation Service (DHEW), Washington, D.C.
REPORT NO	SRS-76-05418
PUB DATE	Apr 76
NOTE	573p.
AVAILABLE FROM	Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (S/N 017-060-00129-1, $5.65)
EDRS PRICE	MF-$1.00 HC-$30.13 Plus Postage.
DESCRIPTORS	Data Analysis; Data Collection; Educational Assessment; Educational Objectives; *Educational Programs; Federal Government; Federal Programs; Grants; Higher Education; Management Information Systems; Manpower Needs; Manuals; *Models; *Professional Education; *Program Evaluation; *Program Planning; *Social Work
IDENTIFIERS	*Social Work Education Planning Assessment System

ABSTRACT

The Social Work Education Planning and Assessment (SWEPA) System is an information system designed to function within social work education toward two main purposes: (1) to help schools more effectively specify their own educational objectives, plan their social work education projects to achieve these objectives, mark their progress toward this achievement, and assess the results of their efforts; and (2) to help Federal managers more effectively plan a social work education grants program, estimate the potential productivity of proposed projects in contributing to social work manpower needs and to specific program goals, and to review and evaluate progress of the program as a whole in meeting national needs and conforming to the legislative mandate. The SWEPA System consists of three major parts: (1) the Handbook of Fundamental Assessment Concepts: background information on ideas and methods for planning and assessment to orient the user and help him use the system more effectively; (2) the Project Manager Manual: a specific guide for completing and using the Project Manager Forms; and (3) Project Manager Forms: four specific information forms for use by the project manager in planning his project, in reviewing his own progress, in making application for funds, and in reporting achievements. (Author/MV)

Documents acquired by ERIC include many informal unpublished materials not available from other sources. ERIC makes every effort to obtain the best copy available. Nevertheless, items of marginal reproducibility are often encountered and this affects the quality of the microfiche and hardcopy reproductions ERIC makes available via the ERIC Document Reproduction Service (EDRS). EDRS is not responsible for the quality of the original document. Reproductions supplied by EDRS are the best that can be made from the original.

[illegible] System

[illegible]

TM000 079

Social Work Education
Planning & Assessment System

—Handbook of
Fundamental Assessment Concepts
—Manual for Project Managers

—Appendices

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
SOCIAL AND REHABILITATION SERVICE
(SRS) 76—05418 — APRIL 1976

FOREWORD

The purpose of publication of this Social Work Education Planning & Assessment System and of the research upon which it is based is to provide a rationale and theoretical base for this objectives-achievement evaluation approach, and to provide a methodology and instruments for implementing such approach within social work education.

Given that a model which defines the domain of objectives for individual projects is provided by the national program, this assessment methodology should provide national program management with techniques for tapping project assessment data critical to planning and implementing adjustments in the overall program configuration to maximize its productivity. The System should assist Federal program managers in more effectively monitoring and assessing accomplishments of Federal grant programs in graduate and undergraduate social work education, and should assist school project managers and their administrators in planning their projects, in reporting progress and accomplishments, in better managing their projects, and in self-assessment of progress in achieving their project objectives.

David B. Smith, Ph.D.
Associate Administrator for
Planning, Research, and Evaluation
Social and Rehabilitation Service

Washington, D.C.
April 1976

ACKNOWLEDGMENTS

This volume is based on the work of James Altman, Edna Jones, Sara Munger, Robert DeHaven, and Jesse Gates of Synectics Corporation; Howard Ancell, University of Denver; Jean S. Fine, Beatrix Park, and Corinne Wolfe of the HEW Central Office; and Eulene Hawkins, Charles Cohen, and Sophia Belle May of HEW Regional Offices IV, V, and VI.

Assessment materials were modified and further developed on the basis of workshops and meetings with staff of the University of Iowa, University of Utah, Tulane University, University of Texas, College of Santa Fe, New Mexico Highlands College, and other individuals too numerous to mention. Helen Mansfield, Office of Research and Demonstrations, Social and Rehabilitation Service, served as project director of the work from which this publication has resulted.

TABLE OF CONTENTS

Volume I
Handbook of Fundamental Assessment Concepts
and
Manual for Project Managers

Page

Foreword . . . iii
Acknowledgments . . . v
Introduction . . . 1

HANDBOOK OF FUNDAMENTAL ASSESSMENT CONCEPTS

Overview . . . 7
An Assessment Model . . . 9
  Assessment as a Unique Activity . . . 9
  Context for Assessment . . . 10
  Parameters of Assessment . . . 12
  Making Assessment Useful . . . 15
Objectives . . . 22
  Criterion Models . . . 22
  The Concept of Objectives . . . 23
  Deriving Objectives . . . 25
  Translating Objectives into Action . . . 30
  Structure of Social Work Education Project Objectives . . . 34
Data and Measures . . . 39
  Relationships Among Data Classes . . . 39
  Measures . . . 40
  Data Gathering Methods . . . 43
  Structure of Data Classes . . . 45
Operational Criteria . . . 61
  Definition of Criteria . . . 61
  Criteria and Criterion Models . . . 62
  Parameters of Operational Criteria . . . 63
  Sample Operational Criteria for SWE Projects . . . 67

Page

Assessment Criteria 100
  Types of Assessment Criteria 100
  Experimental Designs 110
  Convergent Data 120
Priorities 121
  Assessment Priorities 121
  Intra-Program Priorities 122
  Extra-Program Relationships 124
Definitions 125
References 126
Index 127

List of Figures and Tables

Figure

1. A Schematic Model of Assessment Parameters 13
2. Factors to Consider in Deriving Objectives 27
3. Stages in Translating Objectives Into Action 31
4. Some Schematic Relationships Among Major Objectives Contributing to the Overall Purpose of the SWE Grant Program . . 35
5. Measurement Considerations 41
6. A General Structure of Social Work Education Assessment Data . . 46
7. A Hierarchy of Criteria for Adding or Enriching SWE Opportunities Other Than Field Instruction (Objective Area A-1) 70
8. A Hierarchy of Criteria for Adding or Enriching Field Instruction (Objective Area A-2) 71
9. A Hierarchy of Criteria for Making Offerings More Interdisciplinary (Objective Area A-3) 78
10. A Hierarchy of Criteria for Adding or Enriching Emphasis on Specialized Programs and Problems (Objective Area A-4) 80
11. A Hierarchy of Criteria for Adding Dimensions to Social Work Roles (Objective Area A-5) 81
12. A Hierarchy of Criteria for Integrating Levels of Instruction (Objective Area A-6) 83
13. A Hierarchy of Criteria for Integrating Modes of Instruction (Objective Area A-7) 85
14. A Hierarchy of Criteria for Developing and Applying Innovative Methods of Instruction (Objective Area A-8) 86
15. A Hierarchy of Criteria for Strengthening Student Services (Objective Area B-1) 88
16. A Hierarchy of Criteria for Making Openings for Minority and/or Disadvantaged Students (Objective Areas B-2 and B-3) 89
17. A Hierarchy of Criteria for Developing Faculty Capabilities (Objective Area C-1) 94

Page

18. A Hierarchy of Criteria for Augmenting Faculty Capabilities (Objective Area C-2) 95
19. A Hierarchy of Criteria for Effective Organization and Utilization of Resources (Objective Area D-1) 97
20. A Hierarchy of Criteria for Combining Institutional Resources (Objective Area D-2) 98
21. Factors to Consider in Setting Operational Priorities 123

Table

1. Relevance of Major Classes of Data to Classes of Objectives 48
2. Classes of Requirements Data 49
3. Classes of Institutional Data 51
4. Classes of Staff Data 52
5. Classes of Student Data 53
6. Classes of Plans and Schedule Information 54
7. Classes of Fiscal Data 55
8. Classes of Curriculum Data 56
9. Classes of Field Data 58
10. Classes of Student Services Data 59
11. Classes of Minority Group Data 60
12. Principal Classes of Assessment Criterion Variables 101
13. A Code for Graphic Representation of Experimental Designs 112
14. Graphic Summary of Design Types 113

MANUAL FOR PROJECT MANAGERS

Part I – Planning and Assessment System

Overview 137
Identifying and Defining the Project 140
    A. Making the Decision to Apply for an SRS Grant 141
    B. Identifying Potential Areas of SWE To Be Addressed by the Project. 142
    C. Matching SWE Needs, Capabilities, and Capacities 148
    D. Identifying and Delimiting Areas of Project Emphasis 153
Planning the Project and Its Assessment 156
    A. Stating Project Objectives 157
    B. Translating Project Objectives Into Action Indicators 160
    C. Establishing Performance Requirements 165
    D. Identifying Measurement Processes and Procedures 170
    E. Scheduling Achievements 172
    F. Identifying Administrative Supports 176
    G. Demonstrating Priorities of Objectives 158
    H. Stating Broad Project Expectations 180

Page

Reporting Project Accomplishments ... 185
- A. Describing Project Results ... 186
- B. Demonstrating Achievement of Objectives ... 189
- C. Demonstrating Priorities of Objectives ... 190
- D. Stating Broad Project Accomplishments ... 192

Revising Assessment Information ... 195
- A. Reassessing SWE Needs, Capabilities, and Capacities ... 196
- B. Revising Project Plans ... 198

Communicating With Federal Program Management ... 199
- A. Communicating Informal Project Plans ... 200
- B. Tracking Project Performance ... 202

General Instructions for Completion of Items ... 204

Part II – Limited Demonstration of System Operation

Program Design ... 209
SWE Requirements Determination ... 213
Institutional Description ... 214
Project Planning ... 215
Defining Project Accomplishments ... 218
Federal Review ... 219

List of Figures

Figure

1. Schematic Overview of Project Planning and Assessment ... 139
2. Sample Rank Order of Broad Objective Areas in Plan for an Undergraduate Project (PP Form, Item 19) ... 179
3. Sample Rank Order of Broad Objective Areas in Plan for Combined Undergraduate and Graduate Project (PP Form, Item 19) ... 179
4. Sample Rank Ordering of Operational Objectives (Broad Objective Areas) in a First Year Accomplishment Report for an Undergraduate Project (PP Form, Item 19) ... 191
5. Schematic Flow of Assessment Activities ... 210

Volume II
Appendices

Appendix A– Educational Follow-up Questionnaire ... 1
Appendix B– Social Work Education Requirements Form ... 9
Appendix C– Institutional Inventory Form ... 45
Appendix D– Project Plan Form ... 97
Appendix E– Project Accomplishment Form ... 193

INTRODUCTION

The Social Work Education Planning and Assessment (SWEPA) System is an information system designed to function within social work education toward two main purposes:

- *to help schools more effectively specify their own educational objectives, plan their social work education projects to achieve these objectives, mark their progress toward this achievement, and assess the results of their efforts;*
- *to help Federal managers more effectively plan a social work education grants program, estimate the potential productivity of proposed projects in contributing to social work manpower needs and to specific program goals, and to review and evaluate progress of the program as a whole in meeting national needs and conforming to the legislative mandate.*

Social work education in the United States must be regarded as a national operating system simultaneously meeting needs of agencies for appropriately skilled workers and the needs of citizens for vocationally viable and personally satisfying knowledge and skills. How well it meets these needs is the ultimate measure of its effectiveness. How well it does operate, that is, how effective is the system as a whole, depends in part on how effectively the several parts operate and how they complement and enhance each other, because all are interdependent and the success or failure of one is the success or failure of all.

This interdependence becomes particularly clear when we look at the relationships between educational institutions and educational grants programs that provide funds for educational operations. The schools have a great variety of technologies, operating options, personnel, physical resources, etc., to use. They must match these resources with a wide range of students (diverse in needs and characteristics) who must be prepared for work in a wide range of employment settings to serve a diverse set of employer needs. This is a formidable task because the ultimate test of educational success is the success of each individual match between the student, his educational experience, and his eventual work life. The objective of the educational manager is to design an operating educational system that maximizes the number of good matches in the flow of students through his institution. He has many factors that he can use to achieve his educational objectives. But he does need money to buy the resources he uses.

The goals of the manager of the grants program are very similar – the effective match between workers and their knowledge and skills are the demands of the work they are doing. But the grants manager has only one tool for achieving the goal – a money grant. He cannot allocate any other resources or make any other direct contribution to the goal. He can only decide to whom to give money and for what purpose. Therefore, his objective must be to design and administer a grants program so that the effective achievement of the goals of the schools is enhanced. He must be concerned with the problem of "sub-optimization," the loss of national goal achievement due to the optimization of one part of a system at the expense of the effective functioning of the whole.

This summary, of course, is an oversimplification. The educational manager in fact has many sources of money, including students, all with some different set of objectives and ways of relating to the overall goal of education. Some will have very specific goals that may be somewhat at variance with the generalized education goal. The grants manager by virtue of his experience with many different types of educational activities is often a rich source of information on the effectiveness of specific combinations of resources for achievement of specific objectives. However, in essence the educational manager and the grants manager have basically the same goals, but the educational manager is in a position to manipulate the goal achievement situation more directly. The caveats for an effective social work education system, then, are procedures and operating relationships that help both use the particular resources at their command to achieve their own objectives and contribute to the educational system goal.

The keystone to achievement in a grants program is the achievement of the specific objectives of the individual educational activities that make up the total program. Thus, no program goals can be achieved unless the goals of the recipient schools are achieved, and the goals of the recipient schools are not achieved unless the objectives of the specific projects for which the grant is secured are achieved. But the nation depends on the success of the system as a whole.

The SWEPA System as an idea and as an information system design grew out of, and is activated by, the assumption of interrelationships as summarized above. It thus becomes a tool for making the interrelationships between the parts of the system visible and manageable. It gives the project and school manager a tool on the one hand for achieving his own educational objectives, and, on the other, for articulating his work with that of other school managers and affecting both the choice of national objectives and their achievement. It gives the Federal manager a tool on the one hand for achieving national program objectives and, on the other, for making the educational objectives of individual schools viable on a national basis.

The SWEPA System consists of three major parts:

- Handbook of Fundamental Assessment Concepts: background information on ideas and methods for planning and assessment to orient the user and help him use the system more effectively.
- Project Manager Manual: a specific guide for completing and using the Project Manager Forms.
- Project Manager Forms: specific information forms for use by the project manager in planning his project, in reviewing his own progress, in making application for funds, and in reporting achievements.

There are four Project Manager Forms, each serving a different purpose and being used at different critical points in the life cycle of a project:

- *The SOCIAL WORK EDUCATION REQUIREMENTS FORM brings information about community, employer, and student needs into consideration in deciding on specific project objectives and in planning the particular work steps necessary to achieve these objectives. This form provides a procedure for the project manager to make explicit the links between his project and the need-for-workers situation to which his school and project must relate and general educational system goals. It gives the program manager a vehicle for obtaining information that is relevant to the school's situation and the plan of the specific project. It does so in such a way that he can relate each project to national needs and educational priorities.*
- *The INSTITUTIONAL INVENTORY FORM provides a guide for the project manager to study his own school, to make critical attributes explicit rather than implicit, and to identify critical needs and constraints, in order to integrate these into a viable project plan. For the program manager it makes critical information available in such a way that he can gain some understanding of the vital nature of the development and decisions on a given project. It does so in such a way that he can make some estimate of the program as a whole as a composite of complementary projects.*
- *The PROJECT PLAN FORM provides a means for developing a project plan on the basis of information on the above two forms, to specify the objectives that animate the project, and to enumerate the procedures to be undertaken to achieve the objective. It becomes, then, the statement of intent and the work plan for the project to guide the project manager in his future actions and to inform the program manager of intentions, ways, and means; that is, it gives him a basis for understanding what the project is and how it came to be.*
- *The PROJECT ACCOMPLISHMENT FORM provides a means of enumerating the specific progress on each of the achievement steps in the original project plan, identifying any problems that may have arisen, reshaping the project if necessary to achieve the original goal or to restate a new objective more closely allied to educational goals or to the current need or operating situation. The specific match between objectives to be achieved as stated on the Project Plan Form and the actual achievements as stated on this Form gives the evaluation. This Form would be used for periodic review and for critical points in the course of the project.*

The user should keep in mind that any system such as this is dynamic and changing but can never change to meet all new situations perfectly and can never cover all possible significant information in all individual projects. He should therefore use the "other" categories liberally in order to communicate unique aspects of his project not adequately covered in the Forms. He should feel free to attach continuation sheets and to enter comments or discussions in full whenever doing so will clarify and increase the "wholeness" of the communication of the planning of the project, what the plan is, and how it came to be.

The Social and Rehabilitation Service, and the grants program and research development staff, in particular, welcome comments, criticism and suggestions on specific ways the SWEPA System can be made to serve the needs of social work education. If you have such comments please send them to the Social Services Research & Demonstrations Division, Office of Planning, Research and Evaluation, Social and Rehabilitation Service, Department of Health, Education, and Welfare, Washington, D.C.

Handbook of Fundamental Assessment Concepts

OVERVIEW

As background materials were reviewed for this handbook, it became increasingly clear that our problem was not simply to summarize an existing technology of assessment. The many available sources were so conceptually disparate that it became increasingly clear that simple summarization could not provide consistent support for assessment of social work education or any other socially significant program. Rather, out of the conceptual fragments currently available, we endeavored to invent a conceptual structure for assessment which would:

- Comprehensively cover the problem of assessing socially significant programs, even at the expense of sophistication and depth.
- Yield a single, consistent frame of reference such that all aspects of the assessment problem could be related to one another without recourse to specialized models or exceptions. That is, resolution of additional and more detailed issues would require only extension within the established framework – not the establishment of alternative frameworks.
- Be describable in simple, essentially non-technical terms.
- Have clear and relatively direct relationships to any specific assessment procedures which might be generated for any given social program.

In the course of generating a framework to meet the above objectives, we became increasingly convinced that it might have broader utility than just providing a general structure for specific SWE Program assessment procedures. Two constraints on this broader utility are obvious:

- Our analysis of specific programs has been limited to the SWE Program and its component projects. The substantive examples in this handbook are almost exclusively drawn from the SWE Program. Anyone using this handbook for purposes other than SWE assessment must substitute his own concrete referents.
- We have endeavored to articulate the contents of this handbook with specific assessment procedures for the SWE Program and its component projects. No such articulation has been attempted for any other program. Users of this handbook who have applications to other programs as their purpose will have to build their own bridge to specific assessment procedures.

The next chapter presents an overall model of assessment. Emphasis is given to defining what assessment is and is not, to identifying the varieties of contexts in which assessment may take place, to defining the major parameters in any assessment problem, to identifying some of the more important relationships among assessment parameters, and to describing how assessment concepts can be translated into practical activity.

Each of the four chapters following the assessment model deals with a major parameter:

- *Objectives,* in which the concept of the criterion model and its relationship to objectives is described, objectives are discussed in terms of the processes involved in deriving them and in translating them into action, and a general structure of objectives for the SWE Program is provided.
- *Data and Measures,* where relationships among data classes, measures, and data gathering methods are discussed and examples of classes of data relevant to SWE assessment are provided.
- *Operational Criteria,* in which the concept of criteria is introduced, some of the general characteristics of operational criteria are identified, and sample operational criteria for the SWE Program are identified.
- *Assessment Criteria,* in which the characteristics required for effective assessment are identified.

The final chapter is concerned with the relationship of assessment to the establishment and application of priorities. Definitions of selected key words are presented at the back of the handbook.

AN ASSESSMENT MODEL

This chapter introduces the concept of assessment[1] in its most general and comprehensive form. Assessment is first defined and differentiated from other related activities. Some of the major dimensions which determine the context for assessment are then identified. Major parameters of assessment are identified and relationships among them are described. Finally, the translation of assessment concepts into practical activity is discussed.

ASSESSMENT[2] AS A UNIQUE ACTIVITY

Assessment is comparison of existing or anticipated reality with a desired state of affairs. Since one can never know reality in any complete or direct way, but only through an imperfect sensory-perceptual apparatus, assessment is comparison of how things are perceived to be (or will become) with a conception of how they should be.

A decision maker lives in a network of problems which he attempts to solve through the making of decisions which are rational within the limits of the information available to him. The problem-solving process begins with an awareness that there is a discrepancy between an idealized view of the way things should be (a criterion model) and the way they are or will become without intervention. Once a discrepancy between a criterion model and reality is identified (that is, a preliminary assessment has been made), the decision maker can defer commitment to corrective action by seeking to verify his initial perception through a more refined assessment. Once he is convinced of the discrepancy, he has three basic options. He can:

- Modify his criterion model to bring it more closely into line with reality.
- Seek to bring reality more in line with his criterion model.
- Combine the above.

In carrying out any of the above correctives, the decision maker has recourse to three supporting functions:

---

[1] We use *assessment* rather than the more familiar term *evaluation* because evaluation is sometimes used in two different senses which can be confused. In its more restricted sense, it is sometimes used in contradistinction to experimentation or operational testing. In its more general sense, it is completely synonymous with our use of *assessment.*

[2] The conception of assessment reflected in this handbook draws heavily upon a recent article by Dr. Malcum Provus (1970). Even though we have diverged in many ways from the conception of "evaluative research" presented by the late Edward A. Suchman (1967), his pioneer efforts have helped greatly to define assessment as a unique activity.

- *Research* aimed at discovery of more achievable criterion states and/or characteristics of reality which can most readily be manipulated to achieve desired performance.
- *Design and development* aimed at establishing improved mechanisms (configurations of things, data, and people) for exacting desired performance from reality.
- *Management* aimed at the manipulation of resources (including results from assessment, research, design, and development) to accomplish desired changes.

Whenever corrective actions of any kind have been put into practice, it will be desirable, of course, to assess their effects.

Analysis and synthesis of data are basic intellectual functions which permeate assessment, but this does not distinguish assessment from other activities since analysis and synthesis are fundamental to problem solving in all of its varieties and phases – including research, design, development, and management.

CONTEXT FOR ASSESSMENT

Any assessment is importantly conditioned by the context within which it takes place. The context is defined by at least three major dimensions:

- The segment of reality with which assessment must deal.
- The level of operations which may be influenced by a particular assessment.
- The stage or phase of operations upon which assessment is based.

Each of these dimensions is discussed below.

Segment of Reality

Assessment, if it is to support some useful set of decisions, must be aimed at a precisely defined segment of reality. In a sense, this is no more profound than saying that useful assessment requires knowing what one is trying to assess. But a definition of what part of reality one is trying to assess will usually be anything but trivial. Most socially significant efforts can be usefully segmented in at least three layers:

- Broad, relatively ultimate purposes which are an important reflection of basic values held by a society. In the case of the Social Work Education (SWE) Grant Program, social welfare services are, in effect, outside its boundaries. However, one must make reasonable assumptions about the nature of interface between manpower engendered by the program and the nature of services rendered if assessment of the program is to be appropriate in emphasis, scope, and perspective. That is to say that it is doubtful if a truly profound assessment of the SWE Grant Program can be made entirely without reference to national objectives for social welfare services, even though the program is not directly involved with changing these services.

- Aspects of the phenomena being assessed which are supportive of the broad, ultimate purposes. In the case of the SWE program it is supportive of broad, social welfare purposes by attending to the needs for social welfare manpower. This manpower aspect of social welfare is seeking to accommodate to the expanding and changing nature of social welfare services. Assessment must be concerned with the increased need for administrative skills, commitments to integrate paraprofessionals into the social services career structure, plans to increase and improve the use of personnel drawn from disadvantaged subpopulations, and opportunities for innovative approaches afforded by Federal resources.
- The particular program(s) being assessed. With respect to the SWE Grant Program, it makes a difference to assessment not only that the operational concern is for enhanced social welfare services through manpower development, but also that funds are made available through, and their use constrained by, specific legislative action.

Operational Level

Once the particular program to be assessed has been defined in the broader context within which it operates, there are likely to be multiple levels at which assessment can take place. In general, there will be as many potentially productive levels of assessment as there are distinguishable levels of operation. For the SWE Grant Program, for example, three levels can be readily identified:

- The project level.
- The regional level.
- The national level.

Assessments must be concerned not only with the peculiar objectives and requirements of these different levels, but also with relationships among them. For example, it would be wasteful to design a multi-level assessment system in which results from individual projects and consolidated results from regions are not used for national assessment.

Stages of Development

Assessment should parallel the life cycles of each of its component projects. We have already discussed, under the section on *Assessment as a Unique Activity*, how assessment can play a part in the initial conception of a need for mechanisms to change some aspect of reality. Out of such conceptions come program and project plans.

Assessment can help planning in at least two important ways:

- By comparing tentative plans with existing states of the relevant arts, assessment can help to assure that no area of objectives is suffering from inadequate application of existing knowledge.
- By explicating how the achievement or non-achievement of different objectives will be assessed, operational plans can sometimes be brought into sharper focus and more in line with reality.

Once a project or program is underway, assessment can help to guide the course of future action by comparing progress with plans and with established objectives. When results become available, assessment can compare them with anticipated and desired results to help suggest improved operations and appropriate levels of future support for operations.

PARAMETERS OF ASSESSMENT

In Figure 1, major assessment parameters and relationships among them are suggested in a simplified schematic. A chapter is devoted to each of the five major assessment parameters suggested in Figure 1. However, to provide a sense of their continuity and interrelatedness, an overview of the parameters and the social environment from which they ultimately derive meaning is presented below.

The Social Environment

The discussions of *Assessment as a Unique Activity* and *Context for Assessment* have alluded to the social environment as an important conditioner of assessment. Indeed, any operational system or program worth serious assessment will ultimately derive its meaning only from the larger social environment of which it is but a small part. In addition, all parameters and aspects of assessment must be consistent with one's fullest and best perception of the relevant environment and not just the operational program being assessed. This is true not only of the part of the environment to which the operational program is addressed, but also of that part which may generate useful assessment models and techniques.

Objectives

Perceived discrepancies between existing and desired states of affairs can result in a considerable spectrum of operational responses. Discrepancies can be translated into a statement of needs for corrective action. Where those who define need have the authority, they can state needs as requirements. Requirements can be modified by concepts of feasible achievement to yield operational objectives. Objectives can be configured according to place, time, function, or responsible organization to define different operational missions. The resources which can be used in accomplishing missions, achieving objectives, meeting requirements, and fulfilling needs can be identified and organized. The constraints within which desired results can be sought can be identified and their limits tested. The mechanisms (configurations of things, data, and people) which will provide the desired operations can be designed and developed. The mechanisms can be brought into operation to provide the hoped-for performance. This performance will, hopefully, result in the desired effects within the social environment.

Out of all this, we have chosen to focus on objectives as the most critical interface between operational systems or programs and assessment. This is not to deny that assessment must cope with all of the above operational aspects.

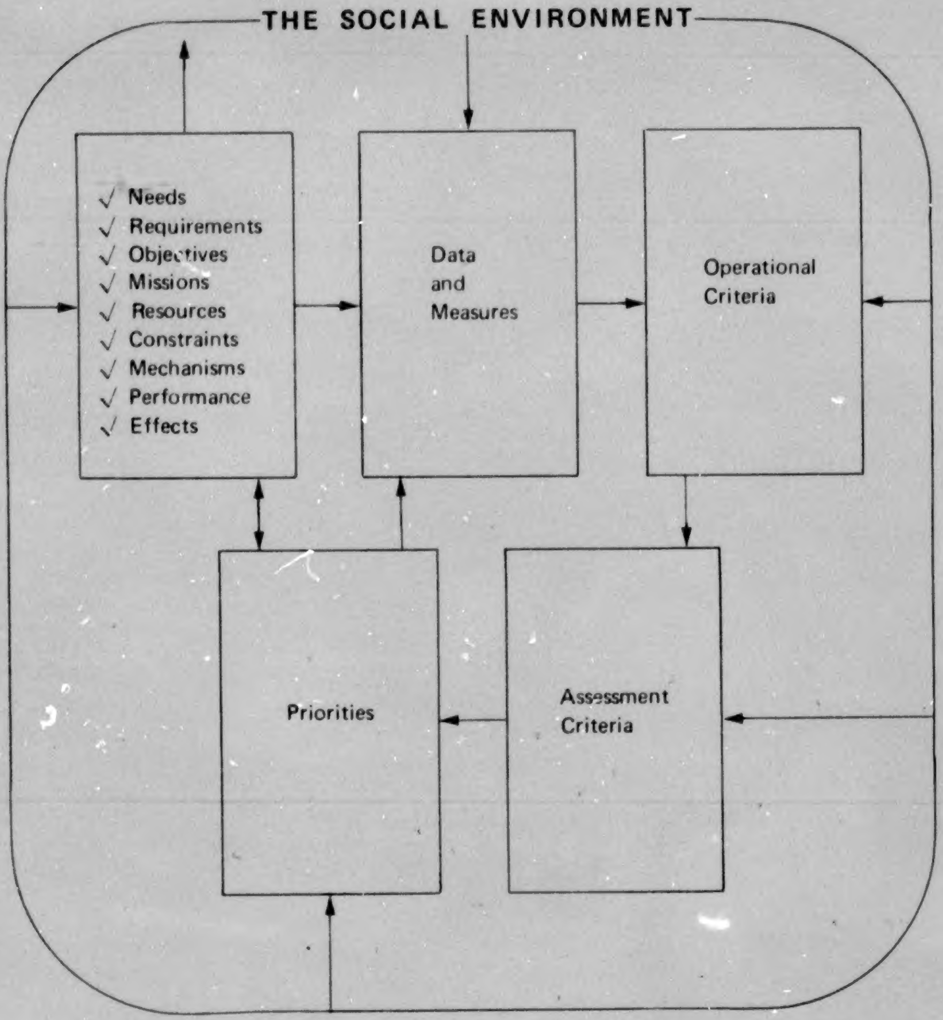
THE SOCIAL ENVIRONMENT
√ Needs
√ Requirements
√ Objectives
√ Missions
√ Resources
√ Constraints
√ Mechanisms
√ Performance
√ Effects
Data and Measures
Operational Criteria
Priorities
Assessment Criteria

Figure 1. A Schematic Model of Assessment Parameters

However, objectives are especially convenient handles by which to grasp an operational system for purposes of assessment. Consequently, the operational program is most typically discussed in this handbook from the point of view of its objectives, even though it must be recognized that the objectives imply a considerable string of related operational aspects.

Data and Measures

Given some handle on the operational program through an identification of objectives and closely related information, it becomes possible to establish objectives for a particular assessment. With such assessment objectives, one has a reasonable basis for defining what data and measures are likely to have utility for assessment. Once defined, the gathering, processing, and analysis of data and measures naturally follow.

Operational Criteria

With various data about, and measures of, an operational program in hand, it remains to draw from them conclusions concerning what they reveal about achievement or non-achievement of objectives. Further, when such achievement has been gauged along appropriate dimensions, it remains to determine the degree of satisfaction one should have with the achieved success. All of this is to say that assessment demands operational criteria for judging the success of the program.

Assessment Criteria

No data, and especially data from a socially significant program, are perfect. Consequently, operational criteria cannot be applied without regard to quality of the data from which one is trying to make judgments about quality of the program. Rather, assessment criteria which provide a basis for judging how much confidence one can place in the accuracy of measures and data must be considered in applying operational criteria. In other words, assessment must not be based on taking obtained data at face value, but must take into account all of the likely sources of bias and distortion before making one's best estimate of the true state of affairs.

Priorities

Not all objectives, data, measures, or criteria are equal in importance. Consequently, assessment and the allocation of resources involved in or guided by it must take cognizance of differing priorities. Operational priorities condition the assessment. In turn, assessment results can influence a change in operational priorities.

MAKING ASSESSMENT USEFUL[3]

There are no handy formulas to assure that assessment will successfully contribute to larger purposes. However, there are five broad ways in which intelligent effort can maximize the chances of making assessment useful:

- Use of an adequate assessment framework.
- Differentiation of assessment approaches by level, stage, and phenomena.
- Establishment of explicit prior criteria.
- Definition of mechanisms for organizing, processing, and reporting evaluative information.
- Bringing operational and assessment skills together.

Each of these areas is discussed below, in terms of general relationships to operationalizing assessment, characteristics of the assessment system, and responsibilities of individuals carrying out assessment along lines established for the SWE Grant Program.

Adequate Assessment Framework

Assessment theory is relatively primitive, a definite limiting factor in productive assessment. However, within the bounds of available theoretical constructs, much more can be done toward useful assessment than has typically been the case in the past. Insistence upon clear and consistent definition of existing concepts can go far toward improving the usefulness of assessment.

Purpose. Assessment must not be confused with science or with research in general. Assessment has a limited purpose – to support judgments concerning the expected or achieved outcomes of programmed effort. Assessment may coincidentally contribute to a body of scientific knowledge. Scientific theory and research information certainly have their place in program planning. But the central purpose of assessment is to test the outcomes of operations, not to test scientific theory. Only if the program operations are themselves primarily aimed at demonstrating some theoretical position does assessment have hypothesis testing as a central focus. Even here, operational realities may quickly overwhelm theoretical niceties (Moynihan, 1969) and direct productive assessment along lines other than pure hypothesis testing. The assessment system for the SWE Grant Program places great emphasis on simple status assessment of a sort unlikely to have any profound scientific implications. But scope of phenomena to be assessed is open-ended, so that any legitimate operational concerns can be included. Assessment purposes derive from operational purposes, and the practitioner must bear responsibility for his own intent. In particular, his objectives, data, criterion variables, and standards must all be explicit rather than hidden.

Boundaries. A central concern of scientific research is ability to generalize – to set with precision the limits within which empirical laws may be relied upon. Assessment is not anti-generalization, but generalization may be a distinct secondary matter. And even when generalization is of prime importance, it may be of limited scope. Two kinds of generalization predominate:

---

[3] This discussion draws heavily upon an article by Dr. Egon G. Guba (1969), although we have deviated widely from his central area of concern, his structure, and many of his specific conclusions.

- Generalizing from experience to date to expectations for the future.
- Generalizing from a sample of projects within a program to the entire program.

The assessment system for the SWE Grant Program emphasizes continuity of information and intent across time, and the consolidation of information across projects. It is assumed that careful evaluative documentation of the program will suggest worthwhile implications for activities outside its boundaries, but no explicit procedures are defined for such generalization. He who undertakes to make such generalization must do so on his own initiative.

Emphases. Assessment emphases, described more fully in the later chapter on *Priorities*, are appropriately determined by the need for informed judgment to support operational decisions. Inadequate development and understanding of assessment technology have contributed to a variety of spurious emphases.

Judgment. In our model of assessment, judgment plays a pervasive part. But the fact that "best professional judgment" is an integral part of assessing any socially significant program should not result in a convenient, but unfortunately undue, dependence upon judgments which are ill supported by data. There are always economic and time constraints on the types and amounts of data that can be gathered. The operational context is almost never one in which it is possible to achieve the purity of data desired. But almost never will optimum assessment be achieved by having judges, no matter how expert, simply use whatever data "happen" to fall out of a program or can be obtained from a quick inspection of operations. The assessment system for the SWE Grant Program places a minimum of requirements for specific information to go into an assessment, giving great freedom in selecting information and in reflecting evaluative judgments concerning reported information. But assessment is tied to explicit objectives and one must specify a positive basis for contending achievement of an objective.

Objectives. Like judgments, objectives permeate our model of assessment – indeed, the next chapter is wholly devoted to a discussion of objectives. But with objectives, as with all good things, there are dangers of excess. Behavioral scientists have engaged in fierce struggles over the past three or four decades to propagate the role of explicit objectives in design and assessment. It is little wonder that they and their converts have sometimes been guilty of implying that setting objectives will take the design or assessment of a program further than is, in fact, the case. Important as objectives are, there is a great deal more to assessment than their establishment. Four general characteristics of objectives demand intelligent and balanced, rather than fanatical, attention to objectives.

- Objectives are inherently hierarchical. There is always an element of arbitrariness as to the level of detail at which one stops. For any socially significant endeavor, exhaustive specificity is impractical. One must stop at a point of judged sufficiency – a point beyond which the probable returns do not appear to warrant further efforts.
- The specification of objectives is, in itself, a hollow victory. Only when decisions are taken on the basis of explicated objectives – when further

design, operational, or assessment activities and products flow from them – do objectives have worth. Objectives are necessary to effective program functions, including assessment. But they are not in themselves sufficient for the achievement of useful purpose. Any effort which invests its total resources in defining objectives to the exclusion of derivative steps is an unjustifiable waste.

- Objectives are a definite and readily supportable reference point for assessment, but it is all too easy to overestimate how far toward effective assessment the establishment of objectives will take one. Judgments concerning the degree of achievement of even a relatively simple objective are typically amenable to multiple considerations and sources of data. Those who assume an oversimplified, direct linkage between objectives and the web of information appropriately involved in evaluating their achievement will be destined to trivial results.
- Objectives are appropriately dynamic and tentative – they evolve with the life cycle of a project or program, and adapt to changing circumstances. Defining objectives is a part of a complex of continuing processes – not a one-shot stage which, once achieved, can be left immutable.

Measurement. As is emphasized in the chapter on *Data and Measures*, assessment can be greatly facilitated by translating data into symbol systems which can be rigorously manipulated and summarized. But the desirable features of measurement must not be permitted to drive one to excesses, some of the more common of which are identified below:

- Measurement does not eliminate the need for value judgments in assessment. The very choice of a metric involves a complex of judgments about the match between phenomena being evaluated and the rules which define the metric, its allowable manipulations, and its interpretations. After measures have been taken and manipulated, there still remains a series of judgments to be made about the meaning of results for operational decisions. Though measurements may more efficiently and precisely move one to the point of value judgments, they do not permit avoidance of judgment any more than do qualitative data.
- Quantitative information about reference situations (norms, control measures, baselines) can be very helpful in assessment, but neither the fact of quantification nor the possibility of deriving such information from an extensive base absolves one from the necessity of making careful judgments about relevance and comparability. Referencing projects and programs to relevant norms is usually desirable, but just because a project or program is norm-referenced does not in itself make its assessment superior to that of others not so referenced. Simple comparison of a project or program with available norms will seldom suffice to yield insightful and useful assessment.
- Focusing assessment on measurement instruments will usually result in a distorted and less than optimum result. At its worst, an instrumental focus may restrict assessment to variables for which instruments are

already conveniently available. This is not to say that attention to measuring instruments is inappropriate, only that this attention must be balanced. The system for assessing the SWE Grant Program prescribes measurement in only a restricted and general sense; its instruments provide more of a framework for measurement than specific bases for quantification. The specific measurement instruments and decisions are left largely to the individual conducting assessment activities.

Experimental Design. The chapter on *Assessment Criteria* places heavy emphasis on achieving maximum feasible experimental rigor in any given assessment situation. However, if one approaches an operational program with an inflexible experimental design, the results are almost guaranteed to be disastrous. There must always be some mutual accommodation between assessment and operations, but it should be assessment that accommodates to operations rather than the other way around.

- Most operational settings have very limited tolerance for situations contrived to facilitate assessment. In general, the assessment must be prepared to accept operations as they occur.
- Useful assessment invites interference. As insightful assessment results become available to operational personnel, they are likely to "improve" operations accordingly. Deliberate efforts to withhold assessment information from operational personnel, whose cooperation is usually required for its gathering, can be counterproductive both in the short and long range. Useful assessment will usually be that which invites operational "interference" in the form of continual refinement on the basis of evaluative information.
- The schedule for availability of assessment information must be principally driven by operations.
- With all of the impact of this "live" environment, there must be a match between assumptions and assessment methods. This frequently will mean acceptance of large clusters of ambiguity concerning the specific causes of observed effects. Assessment should be geared to clear delineation of the limits of knowledge and exploitation of that which is known, rather than breast beating about the imperfections of assessment.

The assessment system for the SWE Grant Program does not prescribe specific experimental designs. Rather, it is structured to permit maximum flexibility in establishing specific designs and in accommodating results from a variety of methods.

Differentiation of Approaches

Approaches to assessment must be differentiated by at least the following four factors if they are to provide maximally useful results:

Level. Fundamental to assessment of a multi-level program is the identification of convergent purposes for the different levels. The focus of assessment will appropriately vary from one level to another. Instruments must be appropriate to the elements of prime concern; the elements may be much more detailed and specific at some levels than at others. Sampling ratios may differ. At the individual project level, it may be desirable to take relatively all-inclusive information, while fairly low percentage sampling may suffice across a whole broad program. But through all of the variation and differentiation, optimally useful assessment must provide for a continuity of information across levels, information which is aggregated in amounts and structures suitable to each level. In the system for assessing the SWE Program, the basic definition of data relevance and aggregation takes place at the individual project level. Multiple levels of further aggregation are then possible on a variety of different bases, e.g., objectives, types of institutions. Although the basic information comes from individual projects, program personnel can supplement and verify this source.

Objectives. Any complex, multi-project program will contain projects with different profiles of specific objectives. Optimally useful assessment will reflect these differences, including an evaluation of the appropriateness of chosen objectives – but evaluating achievements against chosen objectives, not against the full spectrum of possible legitimate objectives. In the assessment system for the SWE Program, the principal responsibility for specifying the objectives to be assessed, the criteria suitable for judging achievement, and the schedule for achievement rests with the individual project. A general framework is provided for reviewing projects having widely varying patterns of objectives, thus providing an orderly basis for comparison as well as consolidation of information across projects.

Stage. Assessment cannot be maximally useful if its methods are suitable only to a limited segment of the life cycle of a program or its component projects, particularly if it is geared only to assessing final results. In the system for assessing the SWE Program, provisions are made for including assessment from the earliest stages of planning, through periodic review of status and achievements, through evaluation of terminal effects. Thus, assessment becomes a function to parallel operations rather than a stage through which projects and program move.

Phenomena. Behavioral scientists, particularly educational psychologists, have had some of their most violent battles in the course of espousing the merits of "behavioral" objectives in education. Casting objectives in the form of behavior desired of students has clear value for instructional programming. However, it is unfortunate when preoccupation with overt student behavior obscures the possibilities of conceiving useful objectives along other lines. The system for assessing the SWE Program is not primarily concerned with educational objectives as such, and is distinctly not limited to instructional objectives in the form of statements about desired student behavior. This is not to say that student behavior is irrelevant to social work education project assessment, either in the form of objectives or otherwise. However, it is recognized that:

- The concern of SWE projects with student behavior can come at widely varying levels of abstraction. It is not limited to the relatively detailed and specific level at which behavioral objectives are required to support the design of instructional sequences and the evaluation of individual student achievement.
- An educational institution may have an extensive set of instructional objectives for its social work education which apply to all SWE students,

regardless of their contact with a grant project. It may be unnecessary to explicate these objectives for purposes of project assessment except insofar as the effort is intended to modify existing instructional objectives.

- The broad goals for the SWE Grant Program imply considerable latitude in the nature of phenomena suitable to manipulate for purposes of achieving its legislative intent. It would be inappropriate to insist that all project objectives be reduced to terms of specific student behavior to qualify for assessment.

Explicit Prior Criteria

Modern American society frequently has been described as pluralistic, one in which multiple values exist in parallel. It is not surprising, therefore, that any socially significant program has the potential for endless disagreement concerning the proper criteria for judging its performance. This potential for contention is markedly increased when:

- Different levels involved in the program have different pressures, perceptions, and needs.
- Achievement must be assessed without the benefit of prior commitment to the criteria that will be used.
- Those responsible for assessment are divorced from operational responsibilities, especially if they are unaware of, or insensitive to, operational imperatives.

The system for assessing the SWE Grant Program seeks to maximize both the consensus on, and utility of, criteria in two principal ways:

- Relying on a sequential consensus technique in which the principal responsibility for criterion setting evolves with the locus of operational effort. A broad framework of possible criteria is available to potential grantees who select and specify as part of their grant request formulation of the criteria by which their proposed efforts should later be judged. Federal decision makers have the responsibility for selecting projects with appropriate criteria and working with project personnel to adjust any initial formulations of criteria which are defective. Federal managers also have the responsibility for the relative emphasis placed on different criterion achievements in the consolidations of cross-project review information. Project personnel have the opportunity to modify planned criterion achievements on the basis of evolving experience.
- As is implied by the above, the principal assessment role rests with the responsible operational personnel. This is not to say that expertise in assessment technology cannot be drawn as needed. The point is that assessment, including commitment to the criteria by which operations will be judged, is an *integral part of operational responsibility.*

Mechanisms for Handling Evaluative Information

At least within the current state of technology, the designer of an assessment system has a difficult problem establishing an optimal level of structure to impose on mechanisms for handling evaluative information. It is quite easy to establish precise mechanisms and procedures for gathering, organizing, processing, and reporting evaluative information. But the resulting precision is likely to yield inflexible, trivial, irrelevant, and generally not very useful assessment. In contrast, a highly unstructured and open-ended set of mechanisms will essentially beg the issue and result in little more than the unsatisfactory status quo.

The system for assessing the SWE Grant Program makes a tradeoff between structure and flexibility at the individual project level by requiring minimal standard information, but providing a semi-structured and open-ended basis for describing requirements plans, and achievements. An a priori commitment must be made to criteria for assessing achievement, but great latitude is given to the individual project in selecting its own criteria. No constraints are placed on the depth of analysis that may support statement of achievement, but the basis for all reported achievements must be specified. Federal personnel are provided basic formats for consolidating standard quantitative indicators and criterion achievements reported by each project. No limits are placed on Federal managers concerning the varieties of program sectors for which data will be consolidated, the extent of independent data verification, or the amount of supplemental data that will be obtained other than through project channels.

Operational and Assessment Skills

Personnel skilled in the art of assessment are relatively rare. Contrary to a common assumption, skilled research personnel are not necessarily good at assessment and are sometimes disastrously out of tune with operational imperatives. There is no reason to expect most project and program managers to be either experienced or skilled in assessment. The problem of bringing adequate assessment skill to bear in operationally useful ways is further compounded by the fact that operational decisions almost never follow any simple rational model.

The system for assessing the SWE Grant Program seeks to meld assessment skills to operations by:

- Providing this handbook, manuals, and self-contained data forms.
- Making assessment an integral part of operational planning and reporting.
- Allowing for productive assessment at a rather rudimentary level, with bonuses of more refined results where greater resources and skills are available and their application is deemed appropriate.

OBJECTIVES

This chapter has five principal parts. In the first part, the concept of a criterion model as program motivator and model is described. In the second part, the concept of objectives as derivative from the criterion model is discussed. In the third part, some of the processes involved in deriving objectives are identified. In the fourth part, some considerations involved in translating objectives into action are discussed. Finally, a general structure for SWE Grant Program objectives is presented.

CRITERION MODELS

Criterion models are (representations of) sets of beliefs or values as they pertain to and in a sense define the domain being evaluated or assessed. All criteria derive from values and knowledge, and it is "value" that gives criteria their utility in assessment. Hence, assessment is essentially dependent upon the criterion model which prescribes the set of values.

The setting of a criterion model to guide a program or project is a central responsibility of those who control the resources which support the effort. That is, the model should derive at the highest level of program management and be articulated downward to the lowest level. In forming the criterion model, program personnel should appropriately take into account the accumulated experience of practitioners, conventional wisdom, values of society relating to the area of concern, relevant research results, and tenable theoretical formulations relating to the behavioral and social dynamics presumed to be involved.

Assessment as such does not encompass basic formulation of a criterion model, and the technology for the formulation of socially significant models is, by and large, outside the scope of this handbook. However, the availability or non-availability of such a model, its specificity, quality, and other characteristics bear heavily on the design and implementation of assessment. It is appropriate, therefore, to note some of the more critical aspects of criterion models.

Validity of the Model

There is nothing inherent in the assessment process itself which assures that a criterion model will be validated or even questioned at lower echelons, e.g., by a project director. Hence, it is quite possible for an assessment to determine that a project or set of projects is closely allied and contributing efficiently to a criterion model which is thoroughly invalid within a larger frame of reference, such as national requirements for social work manpower. Program management at the highest level must have as one of its goals the assurance of criterion model validity. Indeed, it is equally or more important for the national management of a program to continually seek to answer the broader question of whether or not the program should exist as it is to ask how well that program performs.

Translation of the Model

The kinds of criterion models which motivate and guide most programs and projects, including those with well-stated objectives, need to be translated before they are useful as guides to assessment. Translation should be in terms of further definition of objectives, specification of data classes, design of measures, and enunciation of specific criteria for assessment purposes. If the assessment is validly to describe the deviation between program or project and intended accomplishment, this translation must accurately reflect the underlying criterion model. It is, of course, legitimate for assessment to deal with only selected aspects of the total model. But assessment will be misleading if:

- Pertinent elements of the model are omitted from the assessment, without the absence of these elements having been made explicit.
- Extraneous elements are introduced into assessment, particularly if they are introduced at the expense of elements germane to the model.
- Weighting of elements in the assessment is significantly different from their weighting in the broad model, without the discrepancy having been made explicit and appropriate rationale for it having been stated in assessment reporting. Such discrepancies can involve both differences in weights assigned to an entire criterion variable and differences in weights assigned to a particular region of a criterion variable, i.e., differences in standards.

THE CONCEPT OF OBJECTIVES

Everyone involved with educational programs, manpower development, and/or programs for social change appears to be in agreement on one thing—that objectives are very important aspects of any of these programs. There are wide differences, however, in understanding the concept of objectives and in the extent to which program personnel feel committed to given objectives once they have been stated.

Role of Objectives in Assessment

Certainly, the establishment of objectives plays a key role in assessment. At the project level, objectives provide anchor points for assessment in four important ways. First, they represent the principal statement by the project of the kinds of contributions it is believed the project can make to the broader context of social welfare service. As such, they can help structure the kinds of information sought about the larger context as a basis for putting individual project assessment into perspective. Also, to the extent it is possible to obtain information concerning the impact of the individual project on the larger social welfare context, project objectives can serve as a cogent and stable frame of reference for this almost inevitably fragmentary information. That is, an explicit and well-constructed set of project objectives can help both to identify the significance of any available information concerning impact on the broader context and, to guard against overinterpretation of incomplete, fragmentary, or negative impact data.

The second way in which objectives facilitate project assessment is to provide a convenient set of handles for reviewing performance in the dynamic context of social work. That is, given that the objectives fairly represent the "output potential" of a project, they will frequently yield the most convenient base for judging the continuing relevance of that project, for example, against perceived changes in the passing and anticipated social welfare scene.

The third way in which objectives make a profound contribution is as a central frame of reference for assessing plans, performance, and costs. Usually, the most immediate and cogent question to ask of plans is, "Are they compatible with and will they suffice for the achievement of specific objectives?" The most cogent question to ask of a measure of project performance is, "To what extent does it demonstrate the achievement of specified project objectives?"

Finally, objectives can and should provide a source of relative stability in the face of dynamic change. This stability is particularly relevant in the early stages of a project. All too frequently, projects fail to recognize the need to change proposed ways of meeting objectives and take the easier course of changing the objectives themselves. Project personnel express pride in outcomes which may have merit in themselves but bear little or no relationship to the objectives initially approved. The result is a loss of continuity throughout the program which could be avoided if the integrity of initial objectives is emphasized in the assessment processes. At a minimum, changes in objectives must be communicated upward and approval sought prior to major shifts of purpose within a project.

Varieties of Objectives

Much of the confusion about objectives evolves from the fact that even appropriately stated objectives come in a great variety of forms, depending upon the intended uses of the statements and the levels and stages of program development to which they apply. An objective may relate to the intended performance of a program or a project, it may relate to short or long term product expectations, it may be appropriate to any of the hierarchical levels of program operation, or it may relate to the intended assessment of the program against a given performance objective. What adds to the confusion is that almost all the various statements of objectives related to a given goal in a given program tend to share common words. The following general rules and conditions regarding objectives may serve to alleviate some of this confusion:

- Performance objectives are statements of what is intended to be accomplished by a program or project.

- Performance objectives at the program level tend to be broad statements of relatively long-range program performance intentions in relation to a national need, and are not generally very useful as tools at the project level.
- Performance objectives at the project level, on the other hand, are very specific statements of relatively short-range performance intentions within the project domain.
- Statements of performance objectives at all hierarchical levels of a program should be so explicit as to include or imply criteria against which performance can be assessed.
- Assessment objectives are statements of the breadth, depth, and precision with which it is intended to assess the accomplishment of a program and/or project.

A specific performance objective of a project might be, "To expand the school of social work to accommodate 25 additional students per year, such students to be drawn from minority group populations." An example of a related assessment objective might be, "To determine whether the appropriate educational contexts, as defined by factors known to enhance the probabilities of successful matriculation of 25 minority group students, have been established." However, it must be recognized that in developing a project plan for accomplishing the objectives cited above, the project director must stipulate a series of subobjectives or steps which are comprehensive of actions and considerations necessary to accomplishment of those objectives.

DERIVING OBJECTIVES[4]

Where do objectives come from? The general answer is, "From one's criterion model"; but this is obviously not sufficient to be very helpful. One way of looking at criterion models is as a synthesis of beliefs about the way things are versus the way they ought to be, and the parts of that discrepancy which are amenable to reduction with the resources of time, manpower, technology, and money that can be brought to bear.

There is not now, and perhaps never will be, an established procedure that will assure the derivation of good objectives for a program of social significance. However, it is possible to identify:

- Some of the general characteristics that make for useful objectives.
- Some of the factors to consider in the search for objectives.
- Some of the factors to consider in selecting and organizing objectives.

Each of these aspects is discussed more fully below.

Characteristics of Useful Objectives

An overriding virtue for objectives is clarity. Constructive criticism, consensus, and modification on the basis of experience can all be achieved if the intent is clear, but are very difficult if the intent is fuzzy.

---

[4] This discussion draws upon an earlier paper (Altman, 1967).

Among the dimensions most important to include in objectives are:

- The desired states, rates, and conditions of achievements.
- The limits of intended achievement–the context, individuals, institutions, social segments, and areas of individual condition and performance to which the objective applies.
- The nature of plans (approaches, schedules, resources) for achievement of the objective.
- The criteria by which one may legitimately assess success in achieving the objective. (In a sense, the objectives are fragments of the criterion model, and individual criteria are milestones which mark progress toward total attainment of the fragment.)

Search Factors

There is no fixed sequence of steps that will inexorably lead to useful objectives. Rather, there is a variety of factors impinging on a choice of objectives which are most effectively considered in variable simultaneous clusters and flexible sequences. Some of the principal factors are identified in schematic form in Figure 2 and are described briefly below:

Contexts. Consideration of all of the elements identified in the section on Context for Assessment in the previous chapter is in order. There are some related ways of looking at the program context which may be of particular value in deriving objectives.

Constraints implies looking at the program context from the point of view of "givens" or limits–legislative, administrative, fiscal, time, state of the art. No objective is completely open-ended; a useful objective is always within some explicit or implied constraints.

Resources can, at least in part, be conceived as the mirror image of constraints–the degrees of freedom potentially available to the program within its total context. In any event, objectives are achievable only through the application of resources, and identification of the available resources facilitates their formulation.

Milieu Forces, even when not readily perceived as either resources or constraints, may have a profound effect on one's estimate of what is required, desirable, and possible. Social and political pressures, alienation and discontent on the part of relevant portions of the population, economic status and trends, demographic factors, advances in technology, special-interest groups, and knowledge availability can all influence the perception and definition of useful objectives.

Regions of Concern involve the melding of constraint, resource, milieu force, and other context information into a definition of the populations, time frames, and phenomenological boundaries of interest to the program. In a sense, defining the regions of concern involves establishing a basis for determining degrees of relevance to the program and the limits beyond which it is likely to be unfruitful to attend to possible indirect relationships. Regions of special concern are sensitive to administrative level and geography. At the level of a given project,

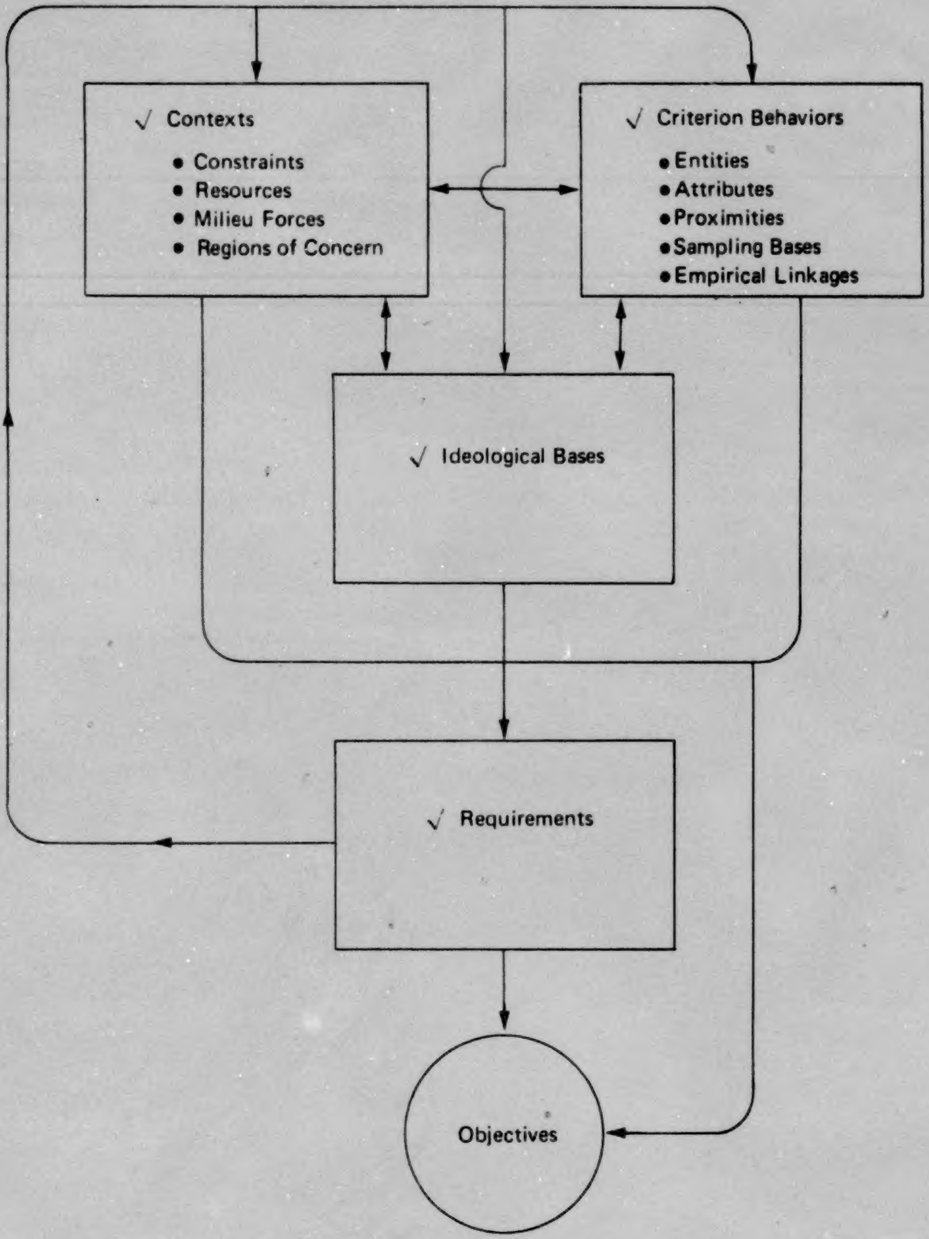
√ Contexts
• Constraints
• Resources
• Milieu Forces
• Regions of Concern
√ Criterion Behaviors
• Entities
• Attributes
• Proximities
• Sampling Bases
• Empirical Linkages
√ Ideological Bases
√ Requirements
Objectives

Figure 2. Factors to Consider in Deriving Objectives

there may be concern for detailed objectives; whereas a national program manager may appropriately have as his principal concern a broader spectrum of more general objectives. Differences in context which are associated with geographic-demographic distribution may appropriately focus concerns quite differently from one place to another.

Ideological Bases. An appropriate, and almost unavoidable, determinant of program goals is the "idea environment" within which program formulation is carried forward. Explicit recognition of the dominant philosophical systems, scientific theories, research data, and relevant technology can play a useful role in deriving a coherent set of objectives.

Criterion Behaviors. Consideration of criterion behaviors is another useful way of looking at the program context to identify specific objectives whose attainment will represent progress toward problem resolution. In this case, the organizing concept emphasizes desired performance. In order to proceed effectively with analysis of criterion behaviors, it is helpful to consider each of the following sets of factors:

Entities include individuals, groups, and organizations. As a first step in attempting to define criterion behavior, it is desirable to identify the entities, or classes of entities, whose behavior is of interest.

Attributes of the relevant entities can sometimes contribute to the analysis of criterion behavior by:

- Helping to define the entities more precisely.
- Suggesting variations in expected patterns of behavior.
- Suggesting hypotheses concerning differential effects to be expected of a program for entities having different attributes or characteristics.

For example, if a program is concerned with the behavior of some population of individuals, it is almost always helpful in formulating objectives to consider the distribution of sex, age, ethnic background, and educational achievement in that population. If the behavior of different institutions is of interest, it will frequently be of use to identify differences in organizational structure, traditions, legal status, funding, etc.

Proximities of criterion behavior to the direct modification or control of a program are usually worth estimating, at least roughly, in the process of deriving objectives. Any program or project can aspire to reverberations of effect which reach out quite far from its area of immediate control. However, rational program planning requires a differentiation between objectives which are immediate and tangible and those which are indirect and longer range. Such differentiation of proximal versus more distant effects is especially important for orderly assessment. Thus, identification of the proximity of criterion behavior to presumed effects for the program or project can help to structure derived objectives in a way which will have important implications for operational and assessment planning.

Sampling Bases, are required because any socially significant program or project is almost certain to involve more criterion behavior than can reasonably be analyzed and described exhaustively. Almost always, cost/effective behavioral analysis must stop at some level of abstraction and must use examples to represent whole classes of behavior. What is important for rational derivation of objectives is a comprehensive framework within which one can imagine drawing representative samples of criterion behavior rather than describing the behavior in exhaustive detail. Such a comprehensive framework permits analytic and descriptive efforts to be efficiently focused on behavior which is judged to be most productive for defining objectives, while making the basis for selectivity clear.

Empirical Linkages between objectives and anticipated judgments of program or project achievement can lend reality and meaning to objectives. That is, by identifying the basis on which criterion behavior might be observed, it is possible to envision how objectives might be carried through to demonstrated achievement.

Requirements. Another useful way to look at current and projected conditions in deriving program or project objectives is through an attempt to identify unmet needs which might be served by the project or program, i.e., needs requiring some action on the part of a contemplated project or program if they are to be met. The search for and definition of requirements involves review of contexts, ideological bases, and criterion behaviors but may also involve other sources of information presumed to be relevant to an envisioned project or program.

Organization and Selection Factors

The organization and selection of objectives are iterative. That is, preliminary organization and structuring of prospective objectives helps in the making of tentative selection and deselection decisions. In turn, the making of increasingly definite selection decisions facilitates the organization of objectives into well-structured sets.

All of the factors previously discussed as aiding the search for and definition of objectives can help also in the structuring of objectives. There are two additional factors which must be considered in organizing and structuring objectives:

- *Generality.* Regardless of the other bases for structuring sets of objectives, they will almost always organize into hierarchies from most general and abstract to the most detailed and specific.
- *Rational-empirical.* Objectives will almost always have intrinsic differences in the extent to which they have rational-empirical relatedness to each other–relatedness which is determined by such factors as their manifest similarity of form and content, causal relationships, sequential and other temporal relationships, and locational similarity.

In general, the factors which serve to determine the selection of objectives are those identified in the last chapter of this handbook, *Priorities.*

TRANSLATING OBJECTIVES INTO ACTION[5]

The five principal stages in translating objectives into effective action are:

- Identifying the resources available to implement the achievement of objectives and the constraints within which this achievement must be accomplished.
- Determining the functions that must be carried out in order to achieve objectives and allocating responsibility for accomplishment of these functions.
- Identifying the methods by which required functions will be carried out.
- Establishing the activity sequence by which methods and functions will be implemented.
- Determining the demonstrations that will indicate whether objectives are or are not being achieved.

The workflow relationships among these stages and between them and objectives are suggested in Figure 3. Each of the five stages is discussed below.

Resources and Constraints

The importance of identifying and considering resources and constraints in the process of establishing objectives has been emphasized in the previous section. However, it is equally important that resources and constraints be considered in an organized fashion as one translates objectives into action.

Obviously, anyone concerned with realistic program or project planning must be concerned with constraints of time, money, manpower, facilities, information, technology, administrative mechanisms, and legal sanctions. It is equally important that the resources actually or potentially available for carrying out the program be identified and rationally considered in designing an operational project or program.

All of the sources of constraint can, considered from the other side, also be resources. The variety of ways in which resources can be categorized and structured is virtually unlimited and, quite properly, should be idiosyncratic to the particular project or program. Six general categories of resources stand out as having almost universal relevance to program planning and operations:

- Time.
- Money.
- Facilities.
- Personnel–students, faculty, supporting staff.
- Knowledge–as reflected in the availability of materials, media, data resources.
- Services–obtained from outside the program or project staff by purchase or contribution (e.g., data processing services, cooperation on the part of social welfare agencies in field instruction).

---

[5] This discussion draws heavily upon a recent handbook of systems design prepared by Synectics Corporation (Altman, Leavitt, Shannon, & Hovey, 1971).

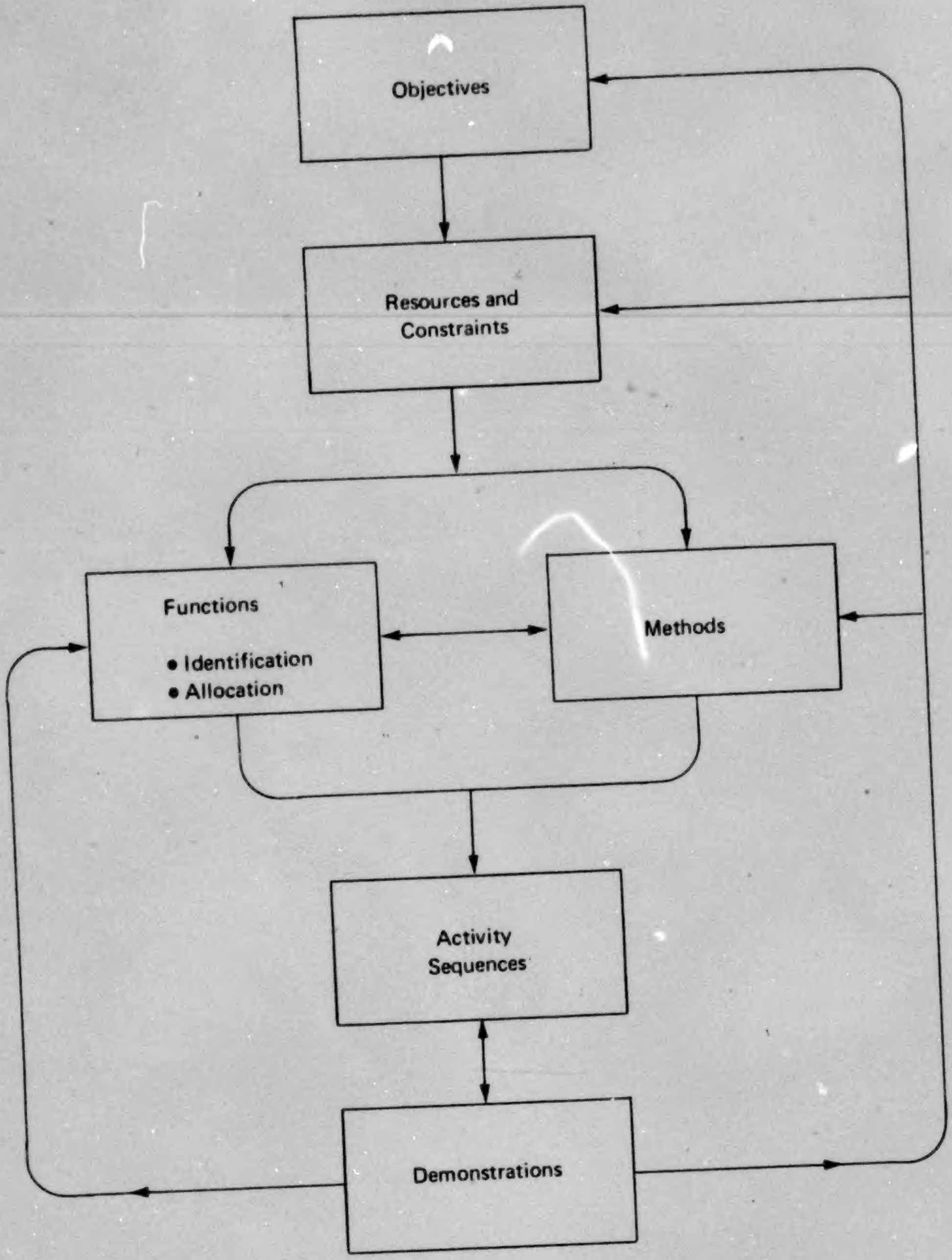
Objectives
Resources and Constraints
Functions
• Identification
• Allocation
Methods
Activity Sequences
Demonstrations

Figure 3. Stages in Translating Objectives into Action

Functions

In functional identification, the effort is to obtain a comprehensive network of activities that will lead from pre-project or pre-program status to achievement of all stated objectives. The emphasis is on broad functions which will link inputs or initial statuses with objectives. The description should involve minimum redundancy of action statements and the minimum detail required to establish a clear picture of action pathways by which the project or program will proceed. A common tool to support this level of description is the functional flow diagram. Functional identification is a gross and simplified answer to the question, "What must the project or program do in order to achieve its stated objectives?"

Functional allocation involves the association of each function with the resources, at least the principal ones, required for its accomplishment. It may also be helpful to identify any especially salient constraints within which the function must be accomplished. Again, the emphasis here is on a comprehensive association of major functions with the resources which will most effectively be used to carry them out. Exhaustive detail should be avoided at this point.

Methods

Given at least a preliminary definition of the objectives to be accomplished, the resources and constraints impinging upon that accomplishment, and the functions required for that accomplishment, one has a relatively well-structured field within which to identify and evaluate the technology which will most effectively support conduct of the project or program. Definition of methodology is neither entirely new nor final at this stage. As was suggested in the earlier section on the search for objectives, the methodology available to support a contemplated project or program is worth serious consideration in the identification, selection, and structuring of objectives.

There is also almost always a tradeoff required between absolute and total pre-specification of methods for a project or program and flexibility in evolving methods with the unfolding of effort. Restraint on pre-specification of objectives is especially important in planning a broad program which will involve individual projects to be carried out by a number of different institutions, lest over-specification depress creative potential within the individual institutions. It is, however, almost inevitably desirable to identify explicitly the methods and techniques which are judged to be reasonable candidates for application in accomplishment of program and project objectives. Such explication is especially appropriate in the initial specification of plans for translating program or project objectives into action.

The identification and specification of appropriate methodology is closely allied with functional identification and allocation. Indeed, in a sense, the association of methods with functions and functional areas is a form of allocating resources to functions—in this case, the resource is a methodological one. For example, the function might be "instruction" and the method might be a specific instructional technique. In any event, the required functions will usually be the most appropriate starting point for the major search for appropriate methods.

Activity Sequences

Once the preliminary objectives, resources, constraints, functions, and methods have been identified and at least roughly interrelated, it becomes productive to establish relatively detailed sequences and schedules of activity. The point is to define clearly who or what is going to carry out specified activities and when. The point is *not* that an elaborate or lengthy description is necessarily in order. However, one of the central factors to have emerged out of management research, operations and systems research, and experience with complex programs and systems is that explicit commitment to interim achievements is essential to a high probability of success in achieving long-range goals. That is, in an evolving project or program, it is essential that the responsible manager always know and be able to communicate efficiently to other interested persons where his efforts stand with respect to earlier expectations. Where there are significant deviations from expectations, reprogramming must be facile, prompt, and explicit.

There is a related aspect to making activity responsibilities, schedules, and commitments to interim achievement explicit. This is the recurrent finding that it is essential for the manager to differentiate his objectives, and especially to be selective in designating objectives which he feels are essential to his effort. The danger of excessive undifferentiated planning detail seems to be almost on a par with that of insufficient planning, and indeed, the evidence seems to be mounting that excessive undifferentiated planning detail is a form of inadequate planning–in this case, an insufficient prior thinking through of priorities.

Demonstrations

The issue of planned demonstration, as it is discussed here, is directly interlocked with the notion of activity sequences as presented above and with the concept of operational criteria as discussed at length in a later chapter. The activity sequences are particularly concerned with who will do what and when. But we are unable to introduce the notion of activity sequencing and scheduling without being concerned also with the notion of selective and differentiated, explicit, interim objectives having programmed achievement. Such objectives definitely imply the need to plan and allow for demonstration of their achievement. The later discussion of operational criteria emphasizes that they are essentially bases for judging whether objectives have been achieved. Thus, essential to any judgment that an operational objective has satisfactorily met criteria of achievement is a demonstration of that achievement.

There is yet another common concept which is intimately related to the notion of demonstrations–the concept of milestones. Almost any significant developmental program is structured around milestones which signify major demonstrated achievements on the path to satisfactory program accomplishment. We are suggesting here that such milestones are almost always appropriate to the planning, operation, and assessment of any socially significant project or program. Since educational and social welfare impact programs tend to be highly evolutionary rather than involving clear start and end points, the demonstration of achieved milestones (objectives looked at from the point of view of project or program progress) may be somewhat more arbitrary and circular than in the case of purely developmental efforts, but the utility of positive progress demonstrations is no less.

STRUCTURE OF SOCIAL WORK EDUCATION PROJECT OBJECTIVES

There are, of course, a great many different kinds and levels of objectives appropriate to the SWE Grant Program and its component projects. They may be organized and classified in an almost endless variety of ways. For present purposes, we have delineated the 15 primary objectives identified in Figure 4.

As suggested in Figure 4, objectives can vary substantially in the directness with which they contribute to the overall Social Work Education objective of improving the availability of capable social workers. For example, assessment objectives are indirect, contributing to the overall objective only through the prescription of improved ways of achieving one or more of the other subsidiary objectives. Our concern includes objectives making both a direct and indirect contribution. Each of the 15 areas of objectives is described briefly below.

A–Curriculum

Add or Enrich Social Work Education Opportunities Other Than Field Instruction
(Objective Area A-1)

The emphasis here is not on innovation in the sense of making a new kind of education available or making it available in some new way. Rather, the emphasis is on making social work education available at a level, an institution, a time, or a location where it was not previously available.

Add or Enrich Field Instruction
(Objective Area A-2)

This area includes the addition of field experiences where they were not previously part of the educational experience, improving the quality of field experience, and increasing the amount and/or quality of interactions between students and field personnel. This objective represents an attempt to assure that the benefits of selective exposure to the social welfare setting are brought to the educational process.

Make Offerings More Interdisciplinary
(Objective Area A-3)

The emphasis here is on bringing disciplines to bear on social work education which have not been fully utilized in the past. It also includes mechanisms for facilitating the flow of current information from the disciplines and interrelating the findings from various disciplines as they converge on social work issues.

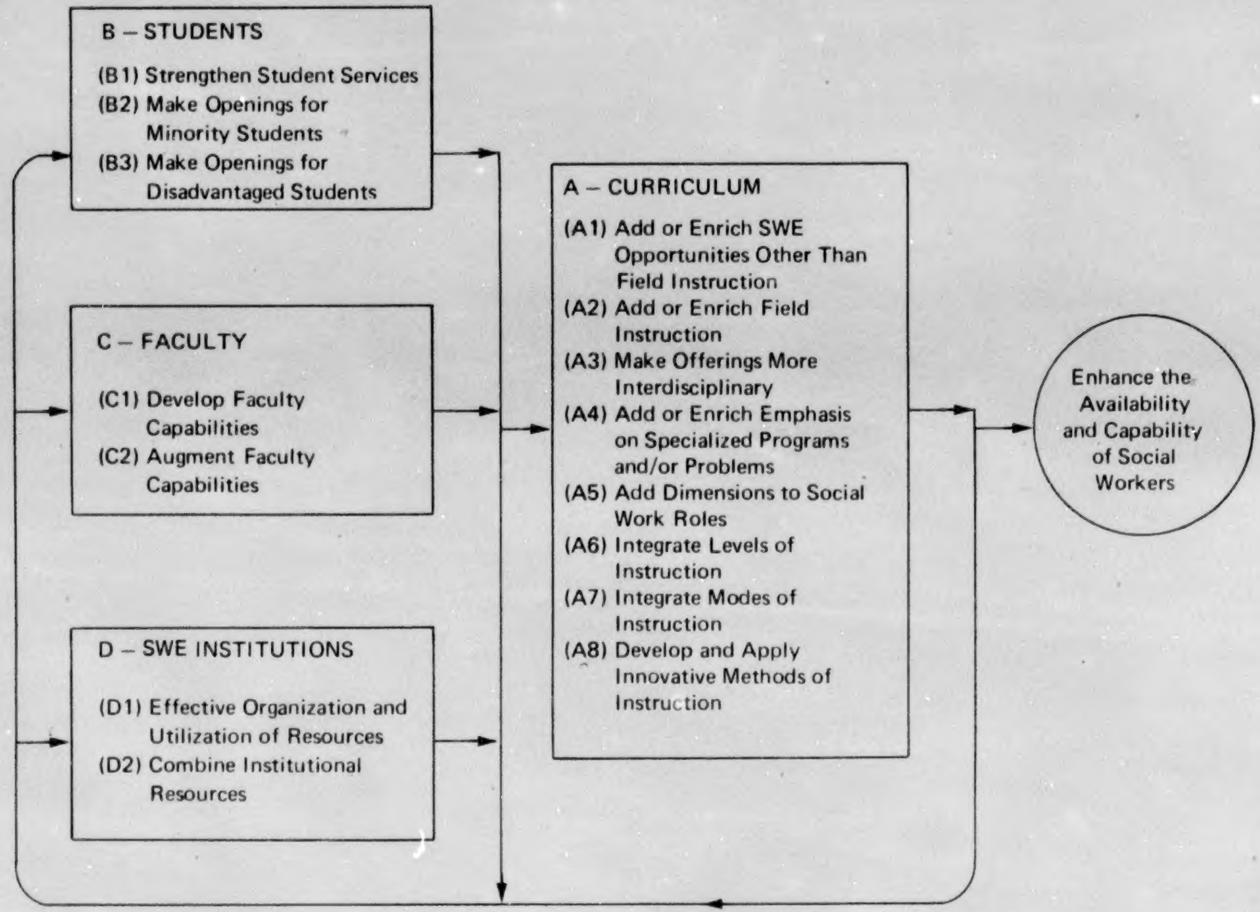
B – STUDENTS
(B1) Strengthen Student Services
(B2) Make Openings for Minority Students
(B3) Make Openings for Disadvantaged Students
C – FACULTY
(C1) Develop Faculty Capabilities
(C2) Augment Faculty Capabilities
D – SWE INSTITUTIONS
(D1) Effective Organization and Utilization of Resources
(D2) Combine Institutional Resources
A – CURRICULUM
(A1) Add or Enrich SWE Opportunities Other Than Field Instruction
(A2) Add or Enrich Field Instruction
(A3) Make Offerings More Interdisciplinary
(A4) Add or Enrich Emphasis on Specialized Programs and/or Problems
(A5) Add Dimensions to Social Work Roles
(A6) Integrate Levels of Instruction
(A7) Integrate Modes of Instruction
(A8) Develop and Apply Innovative Methods of Instruction
Enhance the Availability and Capability of Social Workers

Figure 4. Some Schematic Relationships Among Major Objectives Contributing to the Overall Purpose of the SWE Grant Program

Add or Enrich Emphasis on Specialized Programs and/or Problems (Objective Area A-4)

The focus of concern here is with adding or improving education with respect to particular programs, populations, service agencies, settings, demographic variables and contexts, or geographic locations. This objective represents an effort to insure that education will remain relevant and current with the changing demands of social work.

Add Dimensions to Social Work Roles (Objective Area A-5)

This area of objectives includes addition or enhancement of education relating to:

- Social work functions and roles which have been neglected or which are gaining increased importance, e.g., management and administration, group leadership, planning, supervision, research, evaluation, consultation to action groups.
- Use of multiple-institution resources, multi-service problem solutions, use of volunteers and paraprofessional personnel, reduction of divisive departmental stereotypes and stratifications, expediting, and other skills required for effective performance in a complex social setting.
- Fuller exploitation of individual and group methods, including improved skills in analysis and control of interpersonal interactions.
- Coping with social, political, economic dynamics which influence the needs for, and resources available to, social work.
- Participant populations, e.g., better understanding of individual freedom, participation, alienation, power, reinforcement structures, aggression and violence, victimization, the impact of poverty and deprivation.

Integrate Levels of Instruction (Objective Area A-6)

The emphasis here is upon improving the articulation of education from undergraduate through graduate social work training to post-graduate or refresher levels. The attempt is to facilitate the efficient acquisition of new and higher-level social work skills.

Integrate Modes of Instruction (Objective Area A-7)

Here the emphasis is on the articulation of different kinds of instruction, including, but not limited to, better integration of classroom and field instruction. Another example might be the joint use of audio-visual media and discussion to assure that all students are able to use a given concept correctly.

Develop and Apply Innovative Methods of Instruction
(Objective Area A-8)

The emphasis here is on the application of new media, methods, or patterns of educational practice to more effectively accomplish educational objectives. The attempt here is to assure that educational technology is being sufficiently applied to social work education.

B – Students

Strengthen Student Services
(Objective Area B-1)

This area includes efforts to recruit students, assist them in meeting their educational requirements, guide them to appropriate social work career choices, and place them in appropriate jobs. It also includes the improved forecasting of social work manpower needs, dissemination of information which will increase desirable mobility, and enhancement of the image of social work such that it will encourage the entry of capable students into social work education and jobs.

Make Openings for Minority Students
(Objective Area B-2)

The emphasis here is on actively breaking down barriers which have interfered with persons from minority group backgrounds entering social work education. In particular, it is concerned with facilitating the entry of American Indians, Spanish-speaking Americans, and blacks into social work education.

Make Openings for Disadvantaged Students
(Objective Area B-3)

The emphasis here is on actively breaking down barriers which have interfered with persons from disadvantaged backgrounds entering social work education. This area emphasizes positive action to make social work opportunities available to individuals who have suffered educational or economic disadvantagement.

C – Faculty

Develop Faculty Capabilities (Objective Area C-1) and Augment Faculty Capabilities (Objective Area C-2)

Objectives suggested elsewhere are frequently dependent upon the addition of key staff resources. These staff may be directly instructional, developmental and planning, field supervisors, or advisory. They are most likely to make an effective contribution when their role is clearly specified in terms of criterion objectives identified in one or more other areas of objectives.

D – SWE Institutions

Effective Organization and Utilization of Resources (Objective Area D-1) and Combine Institutional Resources (Objective Area D-2)

These areas of objectives include various aspects of effective use of resources:

- Identification of funding sources and procedures that will permit long-term accomplishment of social work education objectives without dependence upon direct Federal funding.
- The institution fully exploiting its own internal resources and the resources of other organizations available to it for efficient accomplishment of the various project objectives. In particular, emphasis is on avoiding unnecessary duplication in the development of personnel or other resources for the accomplishment of the project.
- Contingency planning to salvage the most important objectives even if desired levels of funding are not achieved.
- The economics of convergence and scale that can be achieved through the pooling of cross-institutional resources for a common purpose. It may be noted that this symbiosis can sometimes be achieved when one institution is closer to the social problems and/or disadvantaged potential student population, whereas the other has greater scholastic resources.
- Building on existing resources. By interfacing prior resources with resources afforded through the social work education grant program, it may be possible to gain maximum leverage in achieving social work education objectives.

DATA AND MEASURES

The major portion of this chapter is devoted to examples of different classes of data relevant to social work education project assessment. First, however, are brief discussions of:

(1) relationships among data classes,
(2) measures, and
(3) data gathering methods.

RELATIONSHIPS AMONG DATA CLASSES

In general, data classes do not match objectives in any simple, one-to-one fashion. Rather, most data classes can have more or less direct relevance to most objectives, but this relevance is contingent upon a large number of factors specific to the particular assessment situation. Data also combine across classes in great variety to bear on particular objectives, again with the appropriate combinations contingent upon specific situational factors. Similarly, most of the multitude of criterion considerations identified or implied in the next chapter, *Operational Criteria,* can at least potentially, be relevant to most data classes. If one were to attempt to describe comprehensively the (contingency factors) x (data classes) x (criteria) interactions, even at a relatively gross and abstract level, the resultant compendium would be enormous and many times greater if an effort were made also to consider interactions with variant measures derivable from each data class.

There seem to be only two potentially useful resolutions to the problems identified above. One is to prescribe an assessment system which arbitrarily allows for only a restricted set of combinations across data classes, between data classes and objectives, and between data classes and criteria. The inter-project variation in profiles of legitimated objectives and operating contexts for most socially significant programs makes it very questionable whether a highly restrictive assessment system would have non-trivial utility. This leaves the other principal option—seeking to establish relatively comprehensive structures of contexts, objectives, data classes, and criteria without seeking either to describe comprehensively or to limit seriously interactions-combinations within or across structures.

This latter course admittedly places a considerable burden upon individual evaluators in selecting and utilizing appropriate combinations of assessment elements. At the present state of the art for assessing complex social-educational programs, however, it seems to be the best course available.

MEASURES[6]

Assessment of the sort appropriate to the SWE Grant Program and similar programs will typically involve a combination of qualitative description and quantitative measurement. The decisions as to what activities and results to measure and what kinds of measurement to accomplish for each aspect to be measured will be among the most difficult faced by the evaluator. The content presented below is intended to identify the measurement considerations likely to be involved in assessment and to provide preliminary suggestions for the direction measurement might take.

The paradigm in Figure 5 provides a gross structure of the assessment process. The initial consideration, shown at the input side, is the assumption that assessment is aimed at commentary concerning real-world entities and attributes. This we would hold as paramount to any useful assessment. At the output side of the paradigm, assessment conclusions must be drawn from analyses of both quantitative and qualitative data, compared against the agreed-upon criterion model of how the real world should be influenced by the program or project of concern.

That there is no practical way to know the real world except through a sample of observations of its events and artifacts yields one of the basic constraints for measurement. Unless the sample of observations contains an accurate representation of the real world of interest, there is no chance that measures based on that sample will provide accurate representation. In contrast, there is a myriad of ways in which raw observations can be distorted and lose their potential for accurate portrayal of the real world.

The recording, retrieval, and manipulation of observations requires that they be translated into some kind of symbolic analog. With the advent of convenient audio-visual recording equipment, this symbology can cover the full gamut of written, spoken, and pictorial media. Within a large program such as the SWE Grant Program, however, one should aim for simplicity and maximum feasible consistency in order to avoid distortion inherent in numerous translations of data.

Most symbols, including numbers, can take on a vast variety of meanings, depending upon the particular grammar with which they are used. By grammar we mean the rules by which defined sets of symbols are related to defined sets of real-world entities and attributes and to each other. Almost always, it is not the symbol or symbol set which is significant in measurement, but the grammars which define allowable application and manipulation of whatever symbols happen to be chosen. Again, maximum feasible consistency in choice of grammar for like manipulations among program entities can serve to reduce distortion in assessment.

Once observations have been represented by symbol sets, they constitute a formal data file. Data files can vary widely in format and sophistication – from simple listings to card files to sort cards to computer storage, depending upon the nature and size of the assessment.

---

[6] This section draws particularly upon an article by Harald R. Leuba (1964).

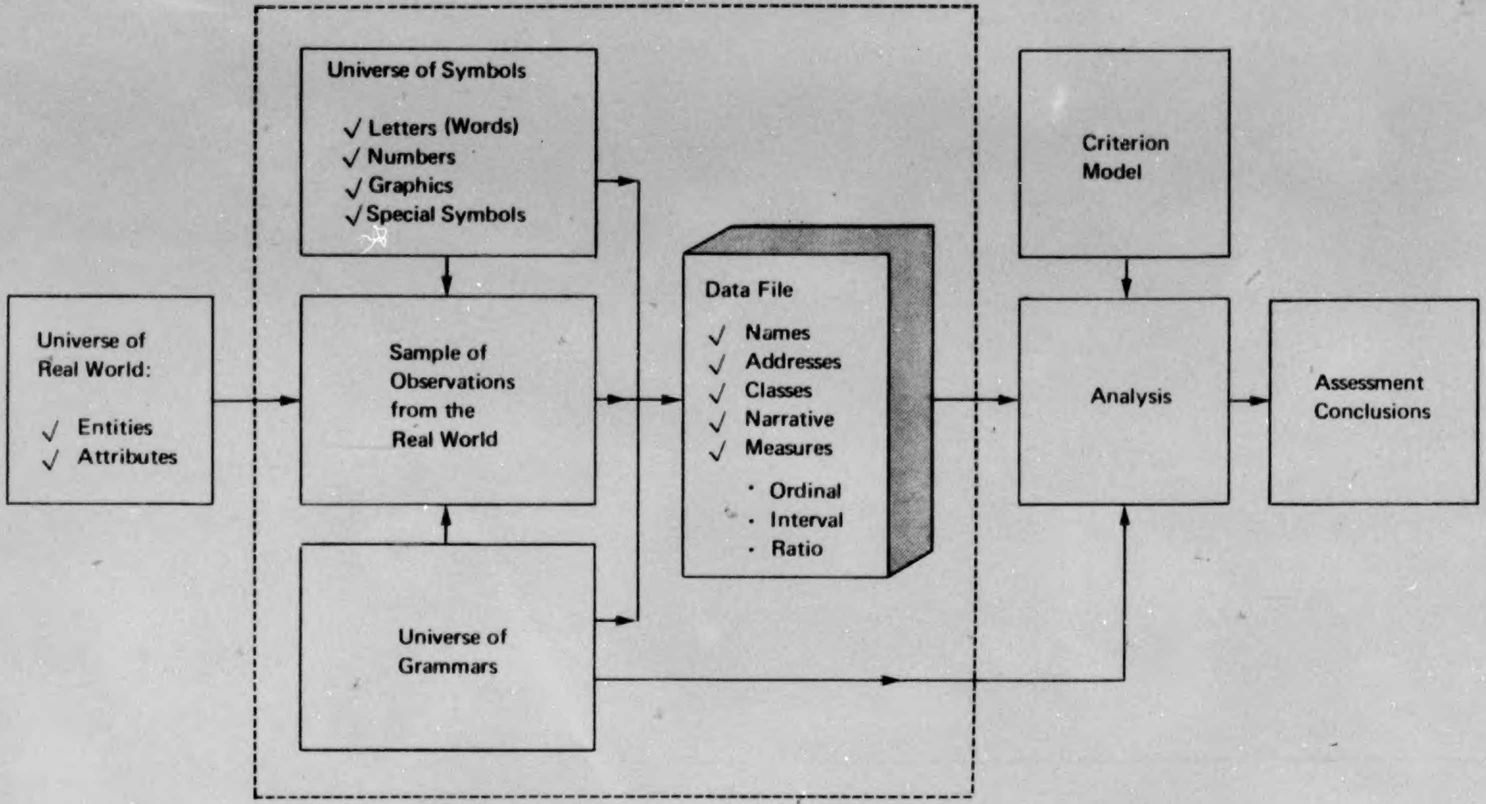
Universe of Symbols
√ Letters (Words)
√ Numbers
√ Graphics
√ Special Symbols
Universe of Real World:
√ Entities
√ Attributes
Sample of Observations from the Real World
Universe of Grammars
Data File
√ Names
√ Addresses
√ Classes
√ Narrative
√ Measures
· Ordinal
· Interval
· Ratio
Criterion Model
Analysis
Assessment Conclusions

Figure 5. Measurement Considerations

At a very general level, data files will include at least the following identifiers and measures:

Names are symbols (including nominal numbers such as those on educational grants) which serve merely to identify a particular entity or datum.

Addresses are symbols which provide information as to the location of data, and may be integrated with names.

Classes reflect rules for inclusion and exclusion of data from particular data sets. Classes can be mutually exclusive (a given data element may be in only one class) or overlapping (a given data element may be in different classes for different analytic purposes). Name, address, and class information may all be integrated in a single descriptor, of course.

Narrative is description of the sample observation in non-quantitative terms. We may note that this may represent merely a pre-quantification stage since a given narrative or set of narratives may subsequently be subjected to a variety of content analyses which will lead to quantitative measures, usually based on counting of times particular attributes are mentioned in the narrative as being present.

Measures are descriptions of observations in quantitative terms. They imply an effort to match observational sets with number sets having similar functional characteristics. Ignoring the trivial case of naming-by-numbers (nominal quantification) mentioned under "Names" above, there are three broad types of measurement:

- Ordinal, which assumes that real-world events represented by observations possess ordered amounts of an attribute. That is, one can make legitimate comparisons between entities or events in terms of which has more or less of a particular attribute or characteristic. An example might be the positions of individuals on a list waiting to be placed in field activities.
- Interval, which assumes not only ordered amounts but equivalence of scale units. Examples are the Celsius (centigrade) and Fahrenheit temperature scales.
- Ratio, which assumes that the characteristic of concern can exist in zero amount. Examples are length and the Kelvin (absolute zero) temperature scale.

Again, both qualitative description and quantitative measurement are important parts of assessment. Measurement, however, has particular salience because the techniques for qualitative analysis lack both efficiency and rigor compared to techniques of numerical and statistical analyses.

The decision as to what aspects of the program have greatest potential for assessment, i.e., to what aspects assessment should attend, must be based largely on non-measurement considerations. The two decisions which are based essentially on measurement considerations are:

- Given the program or project characteristics to be measured, what are the appropriate kinds of measures to be made, and
- The cost and feasibility tradeoffs involved in obtaining those measures.

We will not attempt to prescribe bases for these decisions. Potential techniques of data gathering are discussed in the section which follows. In the end, however, the evaluator must make the best set of judgments he can with his understanding of the phenomena to be assessed, his total knowledge of measurement technology, and the specific measurement tools at hand.

DATA GATHERING METHODS

Assessment can profit from data gathered by a variety of different methods. For present purposes, we have delineated the following six major types of data gathering:

- Retrospection
- Review and inspection
- Observation
- Testing
- Interviews and questionnaires
- Simulation

Each is discussed briefly below.

Retrospection

Project personnel build up a rich store of information out of their on-going experience with the effort. As attention turns toward assessment, this fund of information can be drawn upon to focus and enhance data gathered specifically for assessment purposes.

Almost every major writer on evaluation cautions against the use of retrospective information, especially information gained from only a small number of individuals. Certainly, the possibilities for distortion and bias are great. However, the potential still remains for useful augmentation of assessment data gained by other means with retrospections of individuals who are intimately familiar with the project. In particular, understandings of the project based on retrospective information can help to condition and clarify the interpretation of other assessment results.

Even where there is a clearly undesirable over-dependence upon retrospective information, it can have its utility. A project justified solely on the basis of recall of experience to date can still engender a great deal more confidence than a project lacking any such justification. Future planning can also be facilitated by insights gained from retrospective experience.

Review and Inspection

Most programs will generate a variety of written products and records. These items can include grant requests and other planning documents, progress reports, instructional materials, materials used to support student services, professional publications based on project experience, products generated by students as part of their educational experience, and records of student-user contacts involved in field study. Systematic review and inspection of these materials can yield useful data for assessment.

Observation

Observation of activities can contribute to almost all aspects of assessment. The activities observed can be entirely naturally occurring or can be experimentally manipulated. An example of experimental manipulation might be to conduct one series of learning experiences by traditional means and another by new procedures developed under the project.

Observational methods can vary from almost totally open-ended to highly prescribed. In open-ended observation, the observer is free to record anything he judges to be relevant or significant. Progressively more restrictions can be placed on observation to the point where a record is made only of pre-categorized behaviors and interactions, quite possibly on a time-sampling basis. Observation may, of course, be enhanced by the use of audio-video recording equipment.

Testing

A variety of testing procedures may be used in assessment of programs involving education or training. Pre-tests can provide a baseline of characteristics brought to the educational experience by the student. Interim tests can reveal the course of change as the student goes through the educational experience. Post-tests can reflect the levels achieved by the student by the end of some specified segment of education and the extent of retention of learning beyond the point of formal instruction.

Although principal emphasis is likely to be on student development of proficiencies, changes in attitudes, motivations, and values are also legitimate areas of test. Principal dependence will probably have to be placed on custom-made tests, although supplementary standardized tests may be useful for limited purposes.

Interviews and Questionnaires

Tradeoffs can be made between interviews and questionnaires for most aspects of assessment. In general, small numbers of respondents and a desire for flexibility will make interviewing more attractive. If a relatively large number of students or supervisors are to be contacted (in excess of 50 or so), questionnaires may be much more economical. Geographic dispersal of potential respondents will also support the use of questionnaires. If the interview duration can be kept to a few minutes, telephone interviews can constitute an attractive alternative to questionnaires for a geographically dispersed group of potential respondents. Telephone interviews can also be used as a means of obtaining information from non-respondents to questionnaires, either all non-respondents or a sample.

Where potential respondents are relatively concentrated, group interviews may constitute a middle ground between individual interviews and questionnaires.

In general, the respondent would write out his own responses but the interviewer would be available to answer questions, check over responses, and provide supplementary responses as required.

Interviews and questionnaires can be used to obtain both descriptive information and evaluative information. That is, respondents may be asked to report as factually as possible the kinds of experiences they have had with a program or with other presumably relevant aspects of their life. They may also be asked to make evaluative judgments concerning the nature and quality of experiences. Both types of information may be obtained in a variety of forms, e.g., open ended, multiple choice, rating scale.

Interviews and questionnaires can be administered to individuals actively involved in a program, to individuals who have previously been involved but have terminated their relationship, and to others who have not been exposed but have experiences which are comparable in some sense.

Simulation

Simulation is not a data gathering method in the same sense as the methods just discussed. Rather, it is a data generator only in the sense that modeling a project or program may help to clarify the nature of underlying assumptions and facilitate the estimation of likely effects of the project. Thus, simulation can help to clarify expectancies for the project even though it cannot generate empirical data for use in assessment.

Such expectancies may usefully serve as an interim surrogate for empirical assessment until empirical results are available. Such ordering of expectancies may help to identify the kinds of empirical data which have the greatest potential for assessing important aspects. That is, simulation (modeling of the project or program and symbolic exercising of the model) can help to focus empirical data gathering for assessment. Simulation can also help to suggest productive ways of organizing assessment data.

STRUCTURE OF DATA CLASSES

A general structure of SWE data classes is suggested in Figure 6. There are, as has been noted in the earlier discussion of data classes, far more interactions and combinations than can be represented in this simplified schematic. As indicated in Table 1, all classes of data can have potential relevance to each of the areas of objectives. However, as also indicated in Table 1, some data classes can have especially direct and major importance in assessing progress toward a particular class of objectives. Some of the more important interactions and combinations of data classes and their relationship to respective SWE Grant Program objectives are described in the discussions of individual data classes below. Data classes are discussed in the following order:

- Requirements data
- Institutional data
- Staff data

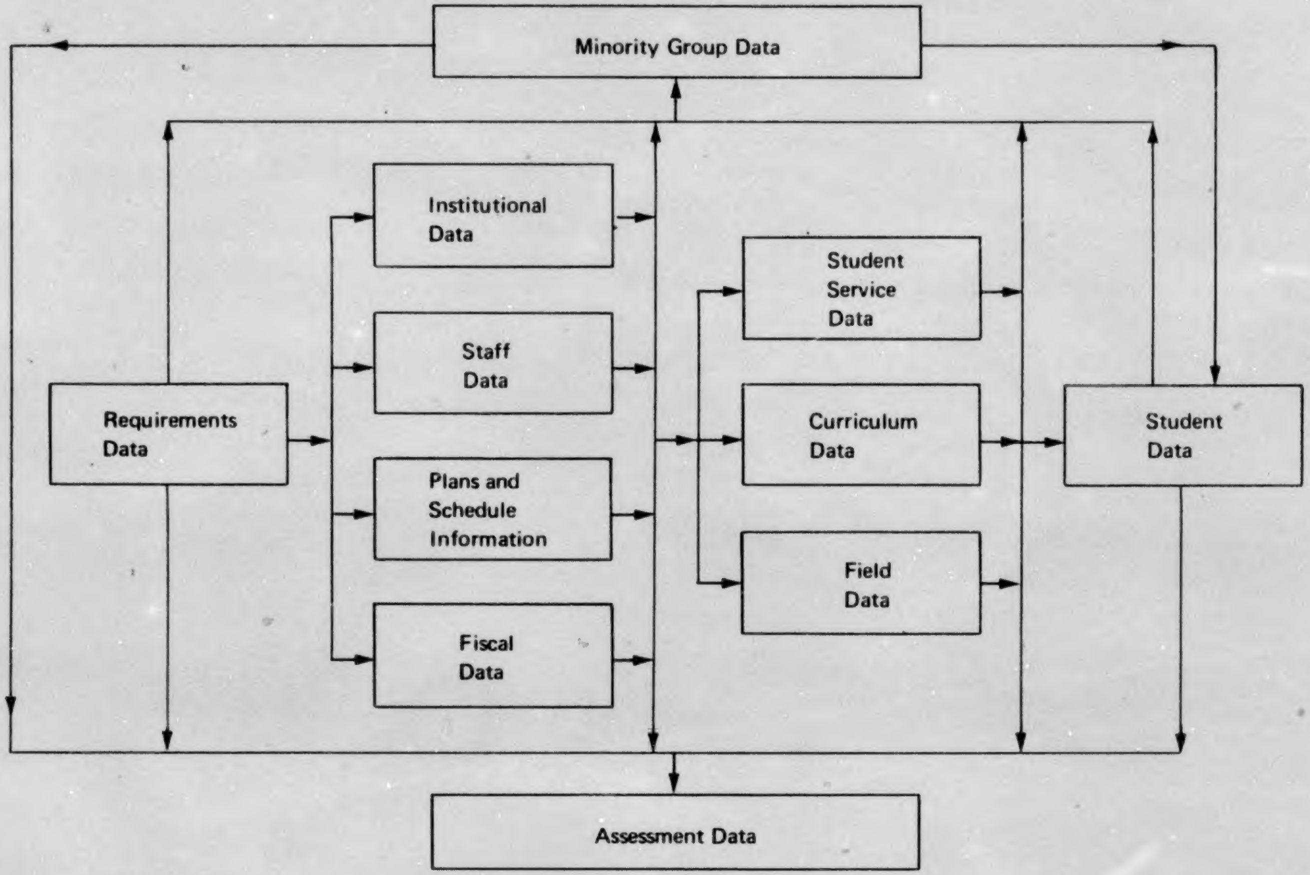
Minority Group Data
Institutional Data
Staff Data
Requirements Data
Plans and Schedule Information
Fiscal Data
Student Service Data
Curriculum Data
Field Data
Student Data
Assessment Data

Figure 6. A General Structure of Social Work Education Assessment Data

- Student data
- Plans and schedule information
- Fiscal data (budget and cost)
- Curriculum data
- Field data
- Student service data
- Minority group data
- Assessment data

Requirements Data

Classes of requirements data are suggested in Table 2. In its broadest sense, the purpose of requirements data is to establish, at least partly on the basis of existing status, projections of future social work education and manpower for comparison with criterion models. Requirements data are used to justify a project by demonstrating that a desired state of events does not now exist or cannot be expected to exist in the future without purposive action of the sort proposed in a program or project.

There are many ambiguities concerning responsibility for the collection of requirements data. Certainly, it would be inappropriate and unrealistic to expect personnel from individual projects to gather national, or even regional, manpower data about social workers. The magnitude and complexity of efforts required to establish social welfare manpower and education requirements on a national basis are such that they constitute a separate Federal program. The SWE Grant Program – at Federal, regional, and individual project levels – has good reason to utilize such information as is available concerning requirements and to relate requirements information to SWE Project objectives and plans.

To a considerable extent, project evaluators must take the best available information and translate it into terms having meaning for the domain of activities they are assessing. This means that the quality of much of the original data going into a determination of requirements will be outside the control of project evaluators, except to the extent that they can be selective in the choice of available data.

Requirements data, whether extracted from other sources or derived by project personnel, form a background against which other classes of data assume much of their meaning. Requirements data are a concrete and specific expression of needs for the effort being assessed. As such, they have direct relevance to the legitimacy of objectives. The other classes of data discussed below can be addressed to a consideration of whether these objectives are being achieved. In this capacity, requirements information can provide a useful baseline and source of perspective.

Institutional Data

Classes of institutional data are suggested in Table 3. These data range from simple, factual descriptors to estimates of the kinds of accommodations and

Table 1

Relevance of Major Classes of Data to Classes of Objectives

▨ = the data class is of direct and major importance in assessing the objective.

□ = the data class is of potential relevance to the objective.

Objectives	Data Classes										
	Requirements	Institutional	Staff	Student	Plans & Schedule	Fiscal	Curriculum	Field	Student Service	Minority	Assessment
Add or Enrich SWE Opportunities Other Than Field Instruction							▨	▨			
Add or Enrich Field Instruction								▨			
Make Offerings More Interdisciplinary							▨	▨			
Add or Enrich Emphasis on Specialized Programs and/or Problems							▨	▨			
Add Dimensions to Social Work Roles							▨	▨			
Integrate Levels of Instruction							▨	▨			
Integrate Modes of Instruction							▨	▨			
Develop and Apply Innovative Methods of Instruction							▨	▨			
Strengthen Student Services				▨					▨	▨	
Make Openings for Minority Students				▨						▨	
Make Openings for Disadvantaged Students				▨						▨	
Develop Faculty Capabilities			▨								
Augment Faculty Capabilities			▨								
Effective Organization & Utilization of Resources		▨	▨		▨	▨					
Combine Institutional Resources		▨			▨						

Table 2

Classes of Requirements Data

1. Currency of Requirements Data (year in which obtained, separately for each data set having a different currency date)
2. Planned Time to Revise Data and Estimates
3. Source (separately for each data set having a different source)
4. Current Employment, Openings
    a. type of social welfare institution
    b. type of clientele
    c. region
    d. demographic characteristics
5. Unemployment, Underemployment, Positions Wanted
    a. duration of unemployment
    b. level of education in social work
    c. years of prior experience in social work
    d. age
    e. sex
    f. ethnic background
6. Productivity and Performance Characteristics of Social Workers
7. Annual Numbers of Persons Entering Social Welfare Jobs (for at least the past five years)
    a. level of education
    b. field of entry
    c. geographic region
    d. demographic characteristics of employing institution
    e. characteristics of the entering population
        1) age
        2) sex
        3) years of prior experience in social work
        4) previous occupation
        5) ethnic background
8. Existing Opportunities for Social Work Education
    a. type and level of program by:
        1) type of institution
        2) geographic region
        3) unused capacity
    b. graduates
        1) level
        2) ethnic background
        3) geographic location prior to education
        4) geographic dispersal after graduation
        5) demographic characteristics prior to education
9. Projected Change in
    a. educational:
        1) capacity
        2) production
    b. job mobility
    c. client needs
    d. Federal and other programs
10. Estimates of Future Social Work Manpower Requirements (by year of estimated need)
    a. geographic region
    b. demographic characteristics
    c. type of clientele
    d. educational level
11. Needs in Relation to Proposed Project Objectives and Plans

efforts made by the institution to facilitate project objectives. All of the institutional data help to clarify the context in which the project takes place. They can be useful in diagnosing reasons for observed performance of the project as reflected in other data classes.

Staff Data

Classes of data relating to project staff are suggested in Table 4. As with institutional data, staff data can be used to help understand project performance reflected in other classes of data. They can also be applied directly to an assessment of the support objective of enhancing faculty capabilities. Even for this relatively immediate objective, one must carefully compare across types and sources of data to have reasonable assurance that staff gains are a result of the project grant.

Student Data

Classes of data relating to individual applicants and students are suggested in Table 5. These are the kinds of data that would result from an effort to track a student, at least in some gross sense, from his initial application through his employment experience after graduation. Such data inevitably cross-cut a variety of other data classes. For example, data relating individual student educational experience to later job experience will yield their interpretive richness only when considered in the light of other data concerning the design of curriculum and field experiences. Data concerning individual student utilization of student services should be considered in the light of other data concerning the services. Proper partitioning of individual student data according to minority status of the individuals can be an important part of assessing the role of a project in enhancing opportunities for minority students, but must be considered in the light of other data concerning minority activities to gain proper perspective.

Plans and Schedule Information

Classes of plans and schedule information are suggested in Table 6. Such information necessarily derives its principal meaning from the substance of the plans and schedules, and this substance is the essential concern of other data classes. Results of plan and schedule review, however, can have additional meaning beyond the evidence which can be extracted for the other data classes. In particular:

- Lack of adequate planning and scheduling may make it difficult or impossible to assess specific areas and objectives implied by other data classes. But the fact of inadequate plans and schedules may be strong presumptive evidence of inadequate progress.
- Planning assumptions which are not compatible with the totality of assessed progress up to the starting point for plans should trigger concerns about plans in all of the areas affected by the assumptions.

Table 3
Classes of Institutional Data

1. Name of Institution
2. Type of Institution
    a. university
    b. college
    c. association
3. Sponsorship
    a. sectarian
    b. non-sectarian private
    c. public
4. Accreditation in Social Work Education
5. Resources Available to the Institution
    a. community, neighborhood centers
    b. rehabilitation agencies
    c. employment agencies
    d. medical facilities, hospitals
    e. private welfare agencies
    f. public welfare agencies
        1) State
        2) out-of-State
        3) local
    g. data processing facilities
    h. extra-mural training facilities
6. Changes in the Institution, Department, Available Resources Introduced by the Project
7. Capitalization on Available Resources by the Project
8. Evidence of Institutional Facilitation of the Project
    a. indicators of continuing interest and support from the parent institution
    b. evidence of prompt administrative reaction
        1) approvals and decisions
        2) support services when required
9. Project Responsibility and Accountability
    a. proportion of time spent on project by principal administrator
        1) graduate level
        2) undergraduate level
    b. department administering undergraduate sequence
    c. role of graduate school of social work in planning and administering undergraduate sequence
    d. accountability of staff members (separately for classroom, field, development, and supporting services)
        1) performance standards for which held accountable
        2) mechanisms for monitoring performance
    e. responsibility of staff members
        1) prescribed and discretionary responsibility of each staff position
        2) time-span of discretion of each staff position
10. Responsiveness, evidence project has been responsive to:
    a. changing social welfare manpower requirements
    b. changing student needs
    c. interim results, opportunities, barriers
11. Dissemination of Information about Project
    a. within parent institution
    b. among social welfare agencies
    c. within professional organizations

Table 4
Classes of Staff Data

1. Size of Social Work Education Staff Prior to Project Grant (indicate year for which figures apply)
    - a. educational level of staff member
    - b. primary type of assignment
    - c. full-time equivalents at undergraduate and graduate levels
2. Size of Project Staff (indicate year for which figures apply)
    - a. educational level of staff member
    - b. primary type of assignment
    - c. full-time equivalents at undergraduate and graduate levels
3. Net Increment to Social Work Education Staff from Project
    - a. educational level of staff member
    - b. primary type of assignment
    - c. full-time equivalents at undergraduate and graduate levels
4. Assignment (by project versus other staff, graduate school of social work versus other staff, graduate students versus other staff, educational level of staff member, number of persons versus hours, newly hired versus those on staff prior to project, age, sex, ethnic background)
    - a. administration
    - b. clerical support
    - c. development
        - 1) outreach (recruiting)
        - 2) selection
        - 3) guidance
        - 4) placement
        - 5) curriculum
        - 6) classroom materials
        - 7) field practicum
            - a) materials
            - b) agency liaison
            - c) student placement
    - d. instruction
        - 1) classroom
        - 2) field
            - a) block plan
            - b) concurrent plan
    - e. outreach
    - f. selection
    - g. counseling
    - h. job placement
    - i. research/consulting
    - j. community work
5. Student/Faculty Ratio
    - a. by graduate versus undergraduate
    - b. for project courses
    - c. for non-project social work education courses
    - d. for education other than in the field of social work education
6. Nature of Reinforcement for Social Work Education Staff (for project versus other)
    - a. organizational rewards
    - b. professional rewards

Table 5
Classes of Student Data

1. Application
    a. date
    b. level (graduate, undergraduate)
2. Applicant Information
    a. name
    b. age
    c. sex
    d. marital status
    e. ethnic background
    f. socio-economic background
    g. academic standing
        1) standing of high school from which graduated
        2) standing of student in class
3. Disposition of Applicant
    a. rejected
        1) lacking qualifications
        2) qualified but space not available
    b. accepted but did not become student
    c. became student in SWE but transferred to another program in the institution (date of transfer)
    d. left school before graduation (date of termination, institutional rate of termination for same year)
    e. graduated (year)
4. Courses Taken and Performance (project versus other)
    a. name
    b. hours (semester, trimester, quarter indicated)
    c. grade
5. Field Experience (project versus other)
    a. agency
    b. tasks engaged in
    c. hours (semester, trimester, quarter indicated)
    d. blocked, concurrent
6. Nature and Extent of Contact with Student Services
    a. outreach
    b. selection
    c. assistance
        1) counseling
        2) tutorial
        3) financial
    d. placement
        1) no contact
        2) assistance requested, but not provided
        3) job suggestions provided, but not contacted
        4) job obtained through placement service
7. Job History (before, during, and after period of social work education)
    a. kind of work
    b. period of employment
    c. relatedness to social welfare
    d. relatedness to education
    e. starting and latest salary

Table 5
(Continued)

8. Educational History
   a. institution
   b. period of matriculation
   c. program
   d. degree
9. Evaluation of Jobs by Individual
   a. social merit
   b. satisfaction
   c. opportunity
10. Evaluation of Education by Individual
   a. satisfaction
   b. recommendation to others
   c. suggestions for improvement
11. Evaluation of Individual by Supervisor
   a. performance
   b. preparation

Table 6
Classes of Plans and Schedule Information

1. Objectives
   a. explicit and clear
   b. related to and explicitly linked with project mission
   c. reflect appropriate priorities
   d. identify bases on which accomplishment can be determined
   e. reflect and distinguish prior accomplishment
2. Events
   a. sequence leading to objectives explicit and clear
   b. event sequence logical and efficient
   c. identify bases on which accomplishments can be determined
   d. relevant and necessary to accomplishment of objectives
3. Activities
   a. activities and steps required to accomplish major events explicit and clear
   b. activities appropriate and essential to accomplishment of events and objectives
4. Resources and Constraints
   a. reasonable estimates of time requirements
   b. available personnel capable of accomplishing objectives
   c. financial resources compatible with objectives
5. Assumptions
   a. key hypotheses and assumptions on which plan is based are made explicit.
   b. planning assumptions and hypotheses reasonable

Fiscal Data

Classes of fiscal data are suggested in Table 7. They serve, in part, as a check on the realism of plans. They also provide a source of assurance that fiscal and fiscal reporting requirements are being properly met. They provide information concerning costs of project activities compared to similar activities funded on other bases. Information concerning the relationship of SWE funds to other funds can suggest the kinds of leverage gained. Finally, changes in fiscal data, e.g., availability of less or more funds than anticipated, imply need for adjustment of other data classes, particularly that of plans and schedule information.

Table 7
Classes of Fiscal Data

1. Sources of Funds
    a. Federal, SWE grant
        1) requested
        2) approved
        3) received
    b. Federal, other than SWE grant
        1) specific source
        2) relation to SWE project
        3) amount
    c. non-Federal outside funds
        1) specific source
        2) relation to SWE project
        3) amount
    d. institutional general funds
        1) relation to SWE project
        2) amount
        3) discounting for tuition and fees for SWE courses
        4) net amount
    e. potential sources (other than SWE grant)
        1) if SWE grant funds continue
            a) specific source
            b) relation to SWE project
            c) amount
            d) evidence funds will be made available
        2) if SWE grant funds are discontinued
            a) specific source
            b) relation to SWE project
            c) amount
            d) evidence funds will be made available
2. Budget
    a. all projected costs fully justified
    b. intended expenditures clearly identified
3. Audit Trail Permits Exact Matching of Actual Expenditures to Budget
4. Salaries
    a. job assignment (as for Table 4, item 4)
    b. tenure
    c. social work education funds, other parts of university
    d. graduate versus undergraduate faculty
5. Student Costs/Year, Separate for Graduate and Undergraduate (See Cooper, 1970)
    a. social work education
    b. other parts of university

Curriculum Data

Classes of curriculum data are suggested in Table 8. (Curriculum is here limited to in-school course work; field experience is considered in the next section.) These data are most immediately applicable to questions concerning the nature and amount of social work education course work developed and/or offered under a project. They also are applicable to questions of quality, as judged against a priori criteria of excellence. Combined with individual student data, they can also be related to questions of effects on students.

Table 8

Classes of Curriculum Data

1. Courses in Social Work Education (project funded versus others)
   a. title
   b. credit hours (semester, trimester, quarter basis)
   c. level of availability
      1) undergraduate only
      2) undergraduate and graduate
      3) graduate only
2. Participation in Development
   (particular project funded curriculum elements indicated)
   a. persons who will make implementation decisions
   b. teaching faculty in social work education
   c. social workers and administrators
   d. community representatives
   e. educational technologists
   f. faculty in related disciplines
3. Progress in Development (by project funded curriculum element)
   a. objectives
   b. instructional aids
   c. performance monitoring instruments
4. Utilization of Existing Knowledge (by project funded course element)
5. Completeness (by project funded course element and total social work education curriculum)
   a. coverage of agency settings
   b. coverage of social work functions and tasks
   c. coverage of clientele
6. Uniqueness
   a. differences from other social work education courses offered by the university
   b. net new opportunities offered by the project funded elements of the curriculum
7. Relevance
   a. specific behavioral objectives defined and appropriate to social work
   b. rational linkages between disciplines and social work
8. Structure
   a. undergraduate sequence articulates with graduate social work education at the same and other institutions
   b. both undergraduate and graduate curricula provide useful social work job skills
   c. sequence at undergraduate and graduate levels:
      1) reflects an appropriate skill hierarchy
      2) does not involve arbitrary prerequisites
   d. each course
      1) is structured around a core of organizing concepts
      2) facilitates cognitive structuring by the student
      3) presents a suitable variety of social work role models

Table 8
(Continued)

9. Methods of Instruction (in project funded course elements)
    a. meet generally accepted standards
    b. apply state-of-the-art educational technology as instructional objectives demand and resources permit
    c. match instructional objectives
    d. dovetail use of multiple media
    e. bring innovative approaches to bear on key unmet needs
    f. give teaching faculty latitude for professional judgment
    g. provide an opportunity for the student to:
        1) take on active role in prescribing the course of his own learning
        2) evaluate his own and peers' performance
        3) question and resist assumptions he considers tenuous or wrong
    h. simulate some of the complexity, stress, confusion, problems, cues, and reinforcements of actual social work
10. Demonstration of Skills Acquired During and Retained Following Exposure to Project Funded Curriculum Elements.

Field Data

Classes of field data are suggested in Table 9. In general, they support considerations analogous to those just identified for curriculum data. They may also be considered in combination with curriculum data to address questions concerning the nature and quality of interface between course and field experiences.

Student Service Data

Classes of data relating to student services are suggested in Table 10. These data relate rather directly to the objective of strengthening student services. To gain a full appreciation of the utilization of and reaction to these services by students requires also the consideration of individual student data. The combination of service and student data interacts importantly with other minority data considerations in assessing whether the project is adequately supporting opportunities for minority students.

Minority Group Data

Classes of minority group data are suggested in Table 11. To an important extent, these data are derived from specialized analyses of other data classes. Requirements data can be considered in terms of discrepancies between minority group representation among users of social services versus representation among social work manpower. Institutional data can be considered from the viewpoint of evidence for commitment to minority group objectives. Staff data can be evaluated to determine whether minority student needs are receiving adequate staff support. Student data can be examined in terms of minority group participation in and reactions to educational opportunities funded under the SWE Project. Planning, schedule, and fiscal data can be considered from the standpoint of allocation of resources to minority students. Curriculum, field, and student service data can be considered in terms of their adequacy to meet minority student objectives.

Assessment Data

Assessment criteria (the bases on which quality of the assessment are judged) apply to all classes of data, and are a major concern of the next section. Consequently, we will not discuss assessment data in detail here. It should be noted, however, that information about the extent to which there are explicit assessment plans, the match between assessment and other plans, progress in developing assessment procedures and/or carrying them out, the quality of assessment results, and the impact of assessment results on future project plans all provide legitimate bases for making judgments about the quality of project performance.

Table 9
Classes of Field Data

1. Progress in Development of Project Field Experiences (undergraduate, graduate separately)
2. Agencies Involved
    a. agency name
    b. mission and clientele
    c. sources of funds (by dollar amount for most recent year)
        1) Federal government
        2) State government
        3) county
        4) city
        5) community chest or united fund
        6) foundation grants
        7) religious bodies
        8) endowment income
        9) direct contributions
        10) other (specify)
    d. operational capacity to accommodate students
    e. physical capacity to accommodate students
    f. full-time equivalent staff (total time and time for educational program)
        1) supervisory and professional
        2) field of specialization
        3) years of experience
    g. number of students per year
        1) graduate
        2) undergraduate
    h. type and amount of field experience (by student level)
        1) varieties of clients, problems, services
        2) level of participation by students
        3) type of placement
            a) block
            b) concurrent
            c) summer
        4) total hours with agency

Table 9
(Continued)

  - i. grouping of students by:
    - 1) experience
    - 2) educational level
    - 3) specialty
  - j. productive social work accomplished by students in their field experience
  - k. diagnosis of skill deficiencies
  - l. liabilities caused by having students in the work situation
- 3. Dovetailing with Classroom Experience
  - a. ratio of classroom to field time (by year of education)
  - b. conceptual bridges between field and classroom
  - c. sequential pattern of field/classroom experience
  - d. classroom opportunities to exploit field experiences

Table 10
Classes of Student Service Data

1. Outreach
   - a. nature and extent of dissemination concerning opportunities
   - b. visits to schools and civic organizations
   - c. use of social welfare agency staffs in recruiting students
   - d. career day meetings and programs
   - e. employer experiences with outreach activities
   - f. "feeder" school experiences with outreach activities
   - g. numbers and characteristics of applications received
2. Selection
   - a. criteria
   - b. instruments, demonstrated validity
   - c. ratio
3. Assistance (availability, numbers of students using, nature of services offered)
   - a. counseling
   - b. tutorial
   - c. financial
4. Placement
   - a. dissemination of information to potential employers
   - b. visits with potential employers
   - c. availability of services
   - d. numbers of students:
     - 1) requesting assistance
     - 2) receiving specific information concerning employment opportunities
     - 3) obtaining position with agencies suggested

Table 11

Classes of Minority Group Data

1. Distinctions
    a. minority group status versus disadvantagement
    b. socio-economic versus educational disadvantagement
2. Faculty Selection for and Orientation to Minority Student Needs
3. Orientation of General Student Body to Objectives Relating to Minority Students
4. Analysis of Barriers to Minority Student Success and Positive Actions to Overcome Them
5. Outreach
    a. special activities for recruitment of minority students
    b. numbers of minority students recruited
6. Selection Adjustments for Minority Students
    a. use of testing instruments
    b. background study
    c. interviewing
7. Adjustments in Assistance Services to Serve Minority Student Needs
    a. counseling
    b. tutorial
    c. financial
8. Adjustments in Placement Services to Serve Minority Student Needs

OPERATIONAL CRITERIA

This chapter consists of four principal parts. In the first part, the concept of criterion is defined and operational criteria are differentiated from assessment criteria. In the second part, operational criteria are related to and differentiated from criterion models. In the third part, the major parameters making for differences among operational criteria are identified. In the fourth part, sample operational criteria involved in the SWE Grant Program are presented.

DEFINITION OF CRITERIA

The term "criteria" is probably the most commonly confused of any relating to assessment. It derives from a Greek word meaning "to judge or decide," and it is this root meaning that is the focus of our definition of a criterion. We may define a criterion as a basis for judging or deciding the adequacy of a project or program, or the adequacy of some aspect of the assessment itself.

In order to constitute a sufficient basis for making judgments, a criterion must define:

- The variable(s) on which or according to which judgments are to be made.
- The point(s) or region(s) on the criterion variable(s) at which judgments of adequacy will change to judgments of inadequacy, the term standard being a convenient shorthand reference for the point(s) and/or region(s).

For example, a criterion for the achievement of a particular project objective may be "an increase in the mean number of client-supportive statements during initial contact interviews (criterion variable) of at least 25 percent (standard) over some specified baseline level."

Some of the more common sources of confusion concerning criteria are:

- The function of a particular measure or data set may be quite different from one criterion definition to another. For example, the distribution of ethnic backgrounds of applicants may represent a criterion variable of pivotal importance for one purpose, but only a control measure for other purposes.
- Although every criterion judgment implies the application of one or more standards, these standards may be unstated or defined only in a very imprecise way. In our view, one of the ways in which assessment technology needs to mature is by demanding a much more explicit and precise definition of the standards applicable to each criterion variable.

- Not only do criteria occur at a variety of levels, the notion of levels has at least two quite different meanings. Criteria can vary widely in their level of specificity versus generality. For example, one criterion may involve only one or two unitary measures for very restricted aspects of the project, while another may involve the aggregation of a broad spectrum of measures and have implications for the entire project. Another aspect of level is concerned with the disparity between the measures of the criterion variables one would like to have (for maximum confidence that proper judgments are being made) and the measures of the criterion variable one can actually achieve. It is common to refer to measures which are highly constrained by compromise with reality as "proximal" and to measures which are very close to ideal as "ultimate."
- Every operational criterion variable can be assessed not only in terms of its manifest implications for how close the project is coming to reaching one or more of its objectives. It can also be assessed in terms of how adequate the measures of the operational criterion variable are to that which is desired for effective assessment. An assessment criterion variable, then, is one used to judge the adequacy of the assessment process itself rather than the adequacy of the project *per se.*
- Operational and assessment criteria can, quite properly, be combined. For example, one can combine an operational variable such as the mean difference in test scores between two groups with an assessment standard such as the level of statistical significance required to have sufficient confidence in the reality of the difference.

CRITERIA AND CRITERION MODELS

Essentially, a criterion is a fragment of a criterion model. Conversely, a criterion model might be conceived of as the totality of criteria appropriate to the assessment of a particular enterprise. But we must exercise caution lest we assume simplistic relationships between criteria and criterion models which will be more misleading than informative. If one merely took all of the explicit criteria for a well-documented project or program and put them into an organized list, it would almost certainly provide some informative insights into the criterion models used by responsible individuals in thinking and emoting about the effort. However, it is very unlikely that such an enumeration would yield anything like an adequate representation of these models.

Criteria are intended to make public in an objectified and unambiguously communicable way what one can productively reveal about his criterion model(s), but there is almost always layer upon layer of subjective belief and doubt which can only selectively and partially be reflected in any direct way in the explication of specific criteria. No matter how intensively one does formal model building and description, one's internalized facility in dealing with presumed relationships and richness of internalized denotative and connotative detail are almost always markedly greater than that which can be reflected in formal publicly shared models.

The emphasis of criterion models is on identifying presumed, or even possible, relationships. Although individual criteria are also concerned with relationships, their first concern is with rational-empirical demonstration.

PARAMETERS OF OPERATIONAL CRITERIA

Objectives and Criteria

Assessment is essentially a matter of estimating whether a project or program has set and achieved appropriate objectives. A basic determinant of operational criteria, therefore, is quite naturally the objectives which have been set for a project or program. Indeed, the examples of operational criteria presented in the latter portion of this chapter are clustered around major areas of objectives.

Proximity

The criteria associated with any given area of objectives can usually be organized, at least roughly, along a dimension of proximity–from criteria dealing with elements most immediately, obviously, and directly under control of the project or program to those most remote from such control. Organizing operational criteria along a dimension of proximity for each objective or substantive class of objectives can help greatly to clarify both the opportunities for and the imperatives of assessing a particular project or program.

As one moves from narrowly focused systems (e.g., electro-mechanical) to broad social programs, it becomes increasingly imperative that assessment include distal as well as proximal criteria. Also, there has been a definite shift in recent years from satisfaction with exclusively narrow proximal criteria to greatly increased demand that the more distal social-ecological impacts of all man's "progress" be examined. A hierarchy of operational criteria from proximal to ultimate levels can usually be identified within any class of criteria. One can almost always envision increasingly ultimate critera somewhere off in the nebulous distance, but utility will usually stop at a level where there are reasonable prospects of getting valid data. Generalized criterion levels for projects and programs involving education and training may somewhat arbitrarily be defined as follows:

- *Percept*–has essentially to do with recognition or perception of need. A good project or program is one which reflects appropriate awareness of the need; a less-good project or program does not.
- *Intent*–is concerned with whether plans for goal achievement have been effectively made.
- *Resource*–is concerned with effective acquisition of needed resources for carrying out intended activities in the production of usable products.
- *Short-range effect*–is concerned with impacts measurable within the educational experience.
- *Long-range effect*–is concerned with impacts which are measurable only outside of the educational experience.

We may also note that proximity of operational criteria is rather strongly related to the inherent complexity of required assessment technology. Proximal criteria may be adequately served by simple direct observation. Distal criteria are much more likely to require experimental manipulation.

Proximity and Development Stages

One of the reasons organization of operational criteria along some imagined dimension of proximity can be quite potent in clarifying assessment prospects and problems is that notions of criterion proximity will almost always roughly parallel the life cycle or developmental sequence of a project or program. Thus, for example, a review of milestones at different points in the developmental schedule of a project is one very good place to start in defining proximity series for operational criteria.

Operational criteria appropriately evolve from proximal to more distal as a project or program moves from early to more mature stages. In the early formative states of a project or program, about the only criteria that can sensibly be brought to bear are those concerned with whether the problems have been adequately perceived and defined. As initial formulations move into definite planning stages, it becomes possible to apply criteria having to do with intent–criteria having to do with whether or not plans have suitable objectives and provisions for their effective achievement. As planning is implemented, it becomes possible to apply criteria having to do with whether resources have been brought to bear as intended with resultant achievement of developmental and operational milestones. Once development has been achieved and operations are underway, it becomes possible to determine whether immediate predicted effects are occurring. Only after a reasonable sample of beneficiaries of a project or program have been exposed to the arena in which the supposed benefits are expected to be realized is it possible to apply significant criteria of long-range effect.

The implications of assessment data tend to change from one developmental stage to another. For example, a project director may be swayed by highly equivocal data at an early stage when he may have to make essentially arbitrary decisions. At later stages, when he has made significant investments in particular approaches, he may demand much more persuasive evidence before changing established directions. At a gross level, developmental stages are widely recognized in the literature on educational and social system assessment. This recognition takes the form of distinguishing between *formative* and *summative* assessment. Formative assessment is aimed at aiding the formulation or development of a program. Summative assessment is aimed at determining the effectiveness of an operating program and establishing a basis for its improvement. Operational criteria along a full range of proximity must support both formative and summative assessment.

Proximity and Types of Judgments

At all levels of proximity, operational criteria involve a great variety of judgments which can be organized in an almost endless variety of ways. For present purposes, perhaps it will suffice to distinguish the following four major classes of judgment involved in the assessment process:

- *Relevance.* Here the focus of concern is on the extent to which any given objective is compatible with the thrust and impact of a criterion model of which the objective is presumably a derivative part. The judgment of relevance can be influenced by both rational and empirical considerations. The linkage between a specific objective and a criterion model can be mediated by relationships known or presumed to exist among a hierarchy of increasingly more general objectives.
- *Importance.* Given that an objective can be presumed or demonstrated to have relevance to its appropriate criterion model, the next set of judgments is concerned with the degree of importance the objective has for achieving some valued state. Ultimately, importance always is reducible to choices among alternatives—a matter of relative priority. The final chapter of this handbook is devoted to the general matter of priority setting. It must be dealt with separately here, however, since judgments of the importance of objectives are an essential part of any comprehensive sequence for evaluating objectives.
- *Achievement.* Given a relevant objective of sufficient importance to warrant further serious consideration, it then becomes appropriate to invoke a set of judgments concerning its achievement. When the objective is a candidate for inclusion in a project or program, the concern focuses on its achievability, i.e., the probability the objective can be achieved within some specified limits for expenditure of resources. When activities which are aimed toward achievement of the objective are in progress, the judgments focus on whether earlier expectations for achievement are warranted and, if not, what adaptive reactions should be instituted. After the fact, judgments concerning whether or not the objective was achieved can be used to buttress decisions concerning the programming of other logically dependent objectives. Judgments of prior accomplishment provide a basis for predicting future success probabilities and act as a diagnostic mechanism to be used in designing more powerful future strategies for the achievement of similar objectives.
- *Demonstration.* Operational and assessment criteria interface where judgments concerning the demonstration of achievement of an objective are made. From the viewpoint of assessment criteria, the judgments focus upon the degree to which one can be confident in conclusions drawn from evaluating the objective, its relevance, importance, and achievement. From the viewpoint of operational criteria, judgments are principally concerned with how essential it may be to demonstrate (at some adequate level of confidence) the relevance, importance, and achievement of a particular objective or set of objectives. That is,

assessment criteria are principally concerned with how adequate a demonstration is, and operational criteria are principally concerned with how useful such demonstration may be in supporting operational decisions.

All degrees of an operational criterion's proximity potentially have significant relatedness to each type of judgment. However, there is no simple one-for-one relationship between regions of criterion proximity and types of judgment. Perception of objectives probably equally involves judgments of their relevance to larger issues and their importance. Reflecting intent to accomplish a particular objective is probably uniquely influenced by judgments concerning the importance of the objective. Although both perceptions and intentions concerning a particular objective carry clear implications for its achievement and demonstration of that achievement, it is with the bringing of intended resources together, conduct of intended activities, production of promised products, and causation of intended short-range and long-range effects that judgments about achievement and demonstration of that achievement become pre-eminent. Although judgments of achievement and demonstration become increasingly complex and difficult as one moves from the more proximal to more distal, both achievement and demonstration judgments have full significance from the simplest configuring of resources to the longest-range effects of a project or program.

Manifestations—Aspects and Criterion Proximity

Projects and programs may be represented or manifested in a variety of ways. The form of this manifestation can influence the criteria by which assessment results are translated into operational decisions and actions. The following are major classes of different manifestations:

- *Resources* may vary over a spectrum from those which are merely acquired and assembled to products which are created by the project. Regardless of where resources may fall on this spectrum, or to what developmental stage they may have particular relevance, they may be evaluated both in terms of the extent to which they have been achieved and their quality relative to intended application.
- *Activities* may be evaluated not only in terms of the resources they generate and other effects, but in their own right. That is, one may wish to initiate operational changes because desired activities are failing to emerge or because emergent activities have undesirable characteristics.
- *Effects* of the project or program on students represent the manifestations meeting the most ultimate operational criteria. Effects can remain over a considerable range of time, and efforts to gauge them can span this full period of possible potency. Usually effects are the most difficult manifestations to gauge and longer-range effects are less amenable to precise assessment than shorter-term ones. Thus, the evaluator is usually faced with a series of complex tradeoffs in establishing his emphasis on effects versus other manifestations and on long- versus short-term effects.

Given a body of assessment data for a particular developmental stage and set of manifestations, operational criteria may still vary as a function of different aspects of the manifestations. The most general classes of aspects are as follows:

- *Performance* is concerned with payoff or output aspects of activities, resources, and effects, that is, with what was achieved. We may note that performance may be either better or worse than some standard of comparison such as another course of instruction. Negative payoff should not be confused with costs as described below.
- *Costs* are concerned with the investment of time, money, personnel, facilities, etc., to achieve desired performance. We may note that costs of a new program may be either greater or less than those of some reference operation. Negative (reduced) costs should not be confused with performance aspects as described above.
- *Acceptance* is concerned with the extent to which concerned individuals (students, faculty, instructional development personnel, policy makers, administrators, etc.) facilitate or impede achievement of desired objectives.

Manifestations of project or program progress evolve along with developmental stages. As these manifestations evolve, the proximity of appropriate operational criteria likewise evolves. Initially it is possible only to apply criteria of whether the activities required to bring raw resources into position for use have been initiated. It is then possible to apply criteria having to do with whether the requisite resources are, in fact, in place and being utilized productively. Later it becomes possible to apply criteria concerned with whether raw resources are being developed into desired new configurations and operational capability. Criteria concerned first with developmental processes and then achieved milestones become appropriate. Finally, criteria concerned with affecting ultimate objectives can be brought into the assessment.

The relationship between aspects of manifestations measured and criterion proximity is rather different than the relationship of criterion proximity with any of the other parameters that have been discussed. Performance, costs, and acceptance can have relevance to criteria at all degrees of proximity to immediate project or program control. However, both the within-category and between-category complexity tends to increase greatly as assessment moves from proximal to distal criteria. For example, the cost/performance relationships in initiation are likely to be much simpler than those involved in estimating cost/effectiveness of a completed project of social significance.

SAMPLE OPERATIONAL CRITERIA FOR SWE PROJECTS

Sample operational criteria for the SWE Grant Program are clustered into four classes as described under the chapter on *Objectives*, namely:

A – Curriculum

Adding or enriching opportunities for social work education through added or improved classroom or field instruction; developing and/or implementing social work education innovations including making offerings more interdisciplinary, adding or enriching the emphasis on specialized programs and/or problems, adding dimensions to social work roles, integrating levels or modes of instruction, developing and/or applying innovative methods of instruction.

B – Students

Obtaining students and/or providing student services, including making openings for minority and/or disadvantaged students or strengthening student services.

C – Faculty

Enhancing faculty capabilities for classroom or field instruction, including developing faculty capabilities, augmenting faculty capabilities.

D – SWE Institutions

Strengthening social work education institutions through effective organization and utilization of resources.

Criteria for the SWE Program in each of these four areas are considered below. The discussion of criteria for any given area of objectives is organized principally by a progression of proximity, from most proximal to most distal.

Sample criterion hierarchies are presented in Figures 7 through 20. Each is concerned with one of 15 areas of objectives. Criteria in each hierarchy are arranged roughly along a dimension of proximity from most immediately subject to control by the project or program (bottom of page) to most remote from direct project or program control (top of page). Parallel criteria (those found on the same level on the page) have approximately the same proximity but deal with different substantive issues. The hierarchies include "criteria" in only a very loose sense. They are certainly not specific, but instead denote rather broad categories of criteria. Though they imply both criterion variables and standards, the statements presented in the hierarchies are precise and specific concerning neither. That is, criteria at the level of generality presented in the sample hierarchies are not nearly so specific as they must be in actual application to a project. The discussion of hierarchies provides somewhat more specificity, but is not intended to provide all the richness of detail necessary to carry out a specific evaluation. The responsibility and prerogative for final specification of criteria resides with persons conducting assessment.

A – Curriculum

Add or Enrich Opportunities for Social Work Education

Adding opportunities for social work education is the first area of three with a direct student orientation, the other two being developing and/or implementing social work education innovations, and obtaining students and/or providing student services. This area of adding opportunities for social work education contains two major areas in their own right:

- Adding or enriching social work education opportunities other than field instruction.
- Adding or enriching field instruction.

The area of field instruction has been called out separately because of its uniquely important role in social work education in general and in SWE projects in particular. However, considering field instruction objectives to be within a separate class results in some ambiguities in deciding in what class operational criteria relating to field instruction belong. Objectives which are solely concerned with adding field instruction where none has previously existed constitute no special problem since they clearly belong in the area of adding or enriching field instruction. Similarly, where objectives are exclusively concerned with increasing the exposure of students to "conventional" field instructional experiences, there is no particular problem in classifying all related criteria as belonging in the area of adding or enriching field instruction.

There are two principal circumstances where a too easy decision that objectives invoke only field instruction criteria may degrade assessment. One circumstance is that the responsibile personnel fail to recognize fully the necessity for new field instruction to be as justified in terms of non-duplication with existing or independently emerging educational experiences as is the case with other kinds of instruction. The other circumstance is that responsible personnel fail to take into account fully the criteria from developing and/or implementing social work education innovations which may appropriately apply to innovation in field instruction.

A sample hierarchy of operational criteria for adding or enriching social work education opportunities other than field instruction is presented in Figure 7. A sample hierarchy of operational criteria for adding or enriching field instruction is presented in Figure 8.

The most proximal operational criteria for the addition or enrichment of social work education opportunities other than field instruction are concerned with awareness of real need for these additional opportunities. This awareness involves three principal elements:

- –Identification of requirements for the kind of education contemplated. That is, the relevance and importance of the prospective education to larger social purposes must be clear.
- –Justification of the suitability of the institution(s) proposing to provide the new educational opportunities. That is, there needs to be a demonstration that the prevailing mission and current resources of the involved institutions are compatible with timely provision of the needed new educational experiences.
- –Cognizance of existing and potentially emerging social work education opportunities which might duplicate prospective new educational experiences. That is, given a legitimated requirement for education of the sort contemplated and the demonstrated capability of the institution(s) intending to provide these opportunities, it still remains to establish that the requirements will not more readily be filled by alternative existing or future mechanisms. Minimally, it is necessary to reflect awareness of major sources of possible duplication and to justify that resources are not likely to be wasted through duplication of effort.

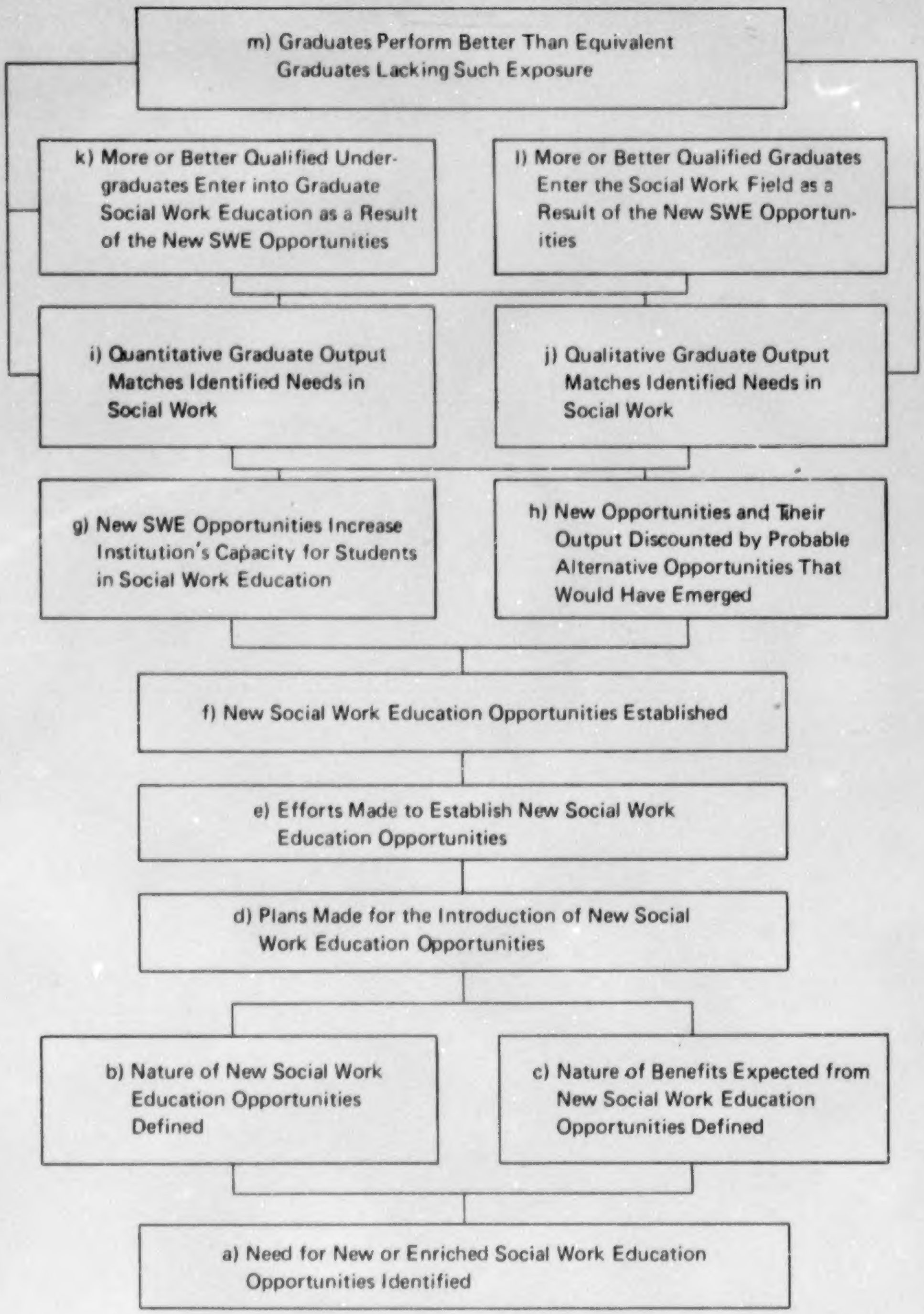
m) Graduates Perform Better Than Equivalent Graduates Lacking Such Exposure
k) More or Better Qualified Undergraduates Enter into Graduate Social Work Education as a Result of the New SWE Opportunities
l) More or Better Qualified Graduates Enter the Social Work Field as a Result of the New SWE Opportunities
i) Quantitative Graduate Output Matches Identified Needs in Social Work
j) Qualitative Graduate Output Matches Identified Needs in Social Work
g) New SWE Opportunities Increase Institution's Capacity for Students in Social Work Education
h) New Opportunities and Their Output Discounted by Probable Alternative Opportunities That Would Have Emerged
f) New Social Work Education Opportunities Established
e) Efforts Made to Establish New Social Work Education Opportunities
d) Plans Made for the Introduction of New Social Work Education Opportunities
b) Nature of New Social Work Education Opportunities Defined
c) Nature of Benefits Expected from New Social Work Education Opportunities Defined
a) Need for New or Enriched Social Work Education Opportunities Identified

Figure 7. A Hierarchy of Criteria for Adding or Enriching SWE Opportunities Other Than Field Instruction (Objective Area A-1)

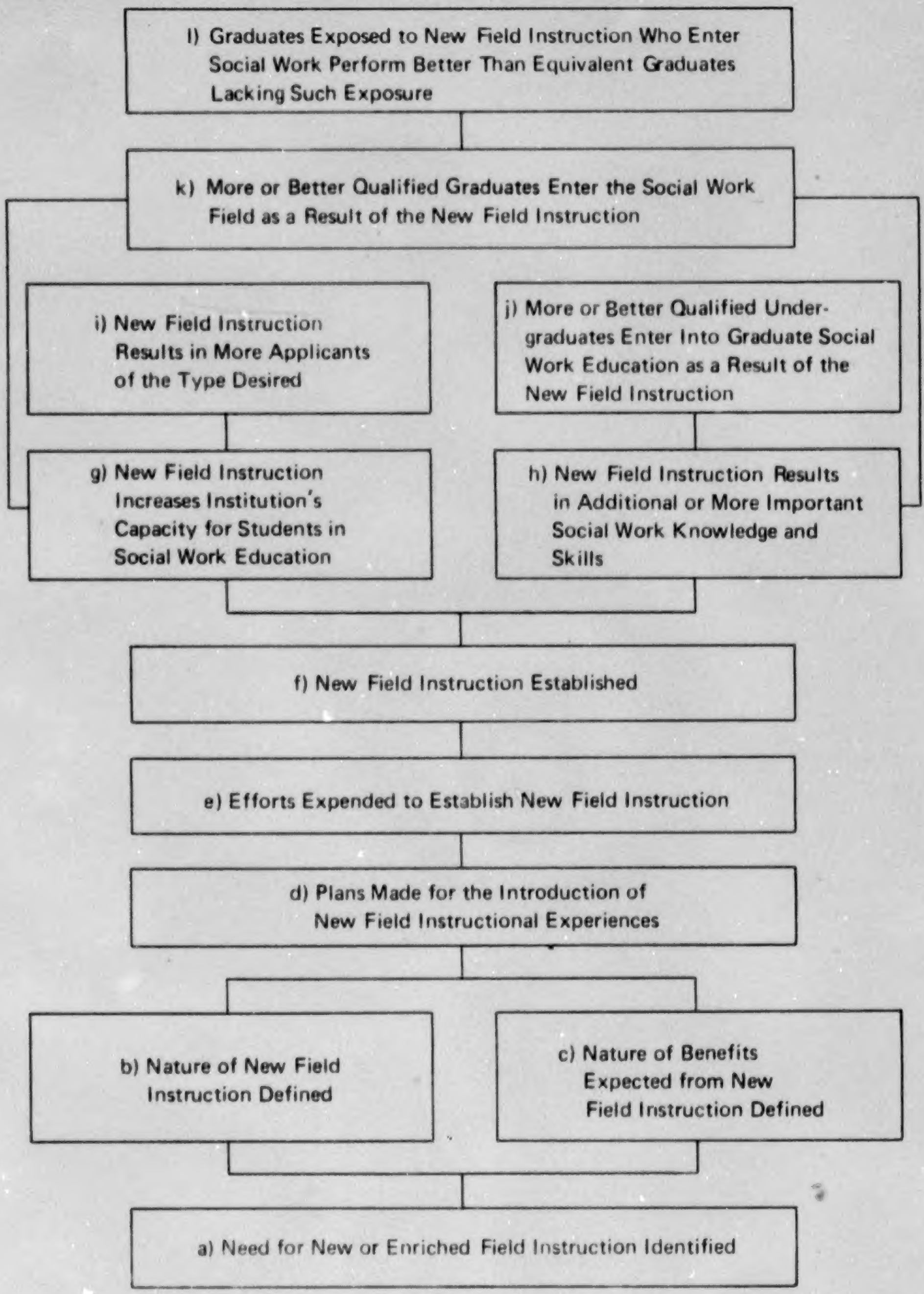
l) Graduates Exposed to New Field Instruction Who Enter Social Work Perform Better Than Equivalent Graduates Lacking Such Exposure
k) More or Better Qualified Graduates Enter the Social Work Field as a Result of the New Field Instruction
i) New Field Instruction Results in More Applicants of the Type Desired
j) More or Better Qualified Undergraduates Enter Into Graduate Social Work Education as a Result of the New Field Instruction
g) New Field Instruction Increases Institution's Capacity for Students in Social Work Education
h) New Field Instruction Results in Additional or More Important Social Work Knowledge and Skills
f) New Field Instruction Established
e) Efforts Expended to Establish New Field Instruction
d) Plans Made for the Introduction of New Field Instructional Experiences
b) Nature of New Field Instruction Defined
c) Nature of Benefits Expected from New Field Instruction Defined
a) Need for New or Enriched Field Instruction Identified

Figure 8. A Hierarchy of Criteria for Adding or Enriching Field Instruction (Objective Area A-2)

Taking cognizance of existing and emergent opportunities in proposing the addition or enrichment of social work education opportunities implies simultaneous awareness and evaluation of all these factors.

Once awareness of requirements, resources, and possible duplicative sources for social work education opportunities has been achieved, it then becomes necessary to reflect this awareness in plans and efforts responsive to the identified needs within the framework of existing and anticipated opportunities. The implied standards for taking cognizance are predominantly those of:

- Not missing obvious alternatives such as educational needs, existing or potential institutional capabilities, and possible duplicative sources of educational experience.
- Correctly interpreting identified elements, in particular, not specifying needs, capabilities, and sources of opportunity which are irrelevant to prospective new educational opportunities.

The principal standards for assessment of effort to minimize duplication and waste focus on:

- A positive demonstration that each significant potential for duplication and waste has been countered with efforts toward minimization of that potential.
- A determination that countermeasures are as appropriate and comprehensive as any that might be brought to bear.

Once new social work education opportunities have been brought into being, there are two proximal areas of criterion concern. The first is that the new opportunities should, in fact, be responsive to identifiable needs, be carried out satisfactorily with the programmed resources, and be free from unnecessary duplication with other sources of education serving the same needs. The second area of criteria at this level concerns proper attribution of "credit" for new social work education opportunities. This implies assuring that only those new or enriched social work education opportunities which are, in fact, a result of SWE project funds are ascribed to project. It is entirely appropriate, of course, to identify ways in which funded efforts are used as leverage to open new opportunities in social work education which are not directly supported by SWE funds. That is, it is appropriate not only to identify new social work education opportunities supported directly by project funds, but also to consider in the assessment of the project those additional opportunities for which there is evidence that funded efforts acted as a stimulus or triggering mechanism. However, neither for opportunities funded directly by SWE Grants nor for indirect effects should evaluation be insensitive to opportunities that probably would have emerged without the intervention of such funding.

The next level of operational criteria for adding or enriching social work education opportunities other than field instruction is concerned with the output from the opportunities. The concern includes both quantitative and qualitative aspects. Fundamental to both quantitative and qualitative aspects is a determination that students are availing themselves of the new opportunities, are graduating with degrees in social work or related degrees, and are entering jobs involving social welfare services. The quantitative aspect focuses on commensuration between demands for numbers of social workers and output in terms of numbers of graduates. The qualitative aspect focuses on a match between the job requirements in social welfare jobs and capabilities engendered by new social work education opportunities. The output criteria implied here do not necessarily have to be deferred until there is actually a flow of graduates into social welfare occupations. It is also possible to review in progress situations to assure that there is a high probability that when graduate output begins, it will be both quantitatively and qualitatively in accord with needs.

The next level of criteria is concerned with a determination that individuals who have taken advantage of new social work education opportunities are not only entering social welfare occupations but are experiencing a successful career in social work. This determination implies rather distal criteria in at least three respects:

- It is difficult to apply any of the criteria applicable to this level until graduates have actually entered the work force. Any determination of the career-related effects of new social work education opportunities would require a relatively long time from the original intent to add them.
- Even though it may be possible to make initial determinations of career success shortly after graduates take jobs, the individual's career has a span on the order of 40 years. If one wanted to gather evidence about impact on total career, the commitment to follow up would be quite long term.
- An individual's career is determined by many factors which impact both before his first professional job and throughout the course of that career. It would be gratuitous in the extreme to suppose that social work education opportunities provided under the SWE Grant Program will be the sole determinant of whether an individual enjoys a successful social work career.

It would be a mistake, however, to write off criteria concerned with a successful career in social work as entirely impractical for assessment. Evidence from the early stages of a career may suffice for useful assessment. This is particularly so since, except for women who defer initial job experiences to have children and young men who enter military service, entering a social work job shortly after graduation is the pattern for the great majority of persons who ultimately enjoy a successful career in social work.

Success, of course, has many dimensions. Whether an individual enters a social welfare job and the duration of employment in each job can be determined through a simple follow-up. Progress within established career ladders can likewise be rather straightforwardly determined from a follow-up of graduates. Salary progression can probably also be determined from follow-up without undue difficulty, although its interpretation is certainly not likely to be easy since many of the motives involved in the initial choice of a social work career are not compatible with maximizing one's individual gain. Supervisors and users of a social worker's services can probably provide information relevant to the quality of services provided by the individual, and the individual may himself be able to present useful insights concerning his relative strengths and weaknesses. The individual graduate will also be the central source of information concerning his job satisfactions and dissatisfactions.

The most ultimate level of criteria for adding social work education opportunities is one where comparisons are made between the quality of social welfare services provided by graduates exposed to the grant supported opportunities and the quality of service provided by others. All of the determinations implied at this level are quite difficult and prone to serious misinterpretation. Three of the principal difficulties are:

- The measurement problems are prodigious. The determination of quality of service is in itself complex and lacking in readily available measurement instruments. Measures must be obtained not only for individuals exposed to project-funded educational opportunities, but also for comparable samples of persons who have had no such exposure. One would be unlikely to expect all aspects of service to be affected by exposure or non-exposure to the kinds of educational experiences involved in the new opportunities. Difficult judgments as to which service aspects have the most potential for revealing differences must be made.
- Obtaining groups which can meaningfully be compared with SWE project graduates constitutes a formidable problem in its own right. If non-comparable groups are used, all sorts of wrong attribtutions to the education experiences can be made.
- If respondents such as supervisors and service recipients are at all aware that the study is under SWE Grant Program auspices, many extraneous motives may so color their responses that recorded differences may reflect attitudes toward such programs rather than any real differences in quality of service. If direct questions about relative quality are asked, there will probably be a strong bias toward giving a favorable position to the program.

These and other difficulties will make rare unequivocal demonstrations that new social work education opportunities result in greater quality of social service than would have been provided by persons without benefit of such experiences. Certainly demonstrations will require sophisticated concern for the assessment criteria outlined in the next chapter of this handbook. The resources required for such demonstration will be significant. Nevertheless assessment will profit greatly from evidence concerning the impact of the educational opportunities on quality of service.

Although the hierarchy of criteria for adding or enriching field instruction (Figure 8) is slightly different from the hierarchy of criteria for adding or enriching new social work education opportunities (Figure 7), the underlying proximity considerations for the two are similar. Indeed, little evaluation of field instruction can take place meaningfully at any level of proximity without reference to the larger social work education experiences of which field instruction is but a part. This means that for each level of field instruction criteria, there is an implied concern for:

- The legitimacy of the educational experience of which the field instruction is a part.
- The appropriateness of the field instruction role in that larger educational experience.

All of the issues of taking cognizance of existing and emerging opportunities and seeking to avoid unnecessary duplication are implied at the first level of criteria for field instruction, the level most prominently concerned with identifying the need for new or enriched field instruction. The criteria for judging whether legitmate needs have been identified focus primarily on a determination that there are legitimate educational goals which are not adequately covered without the contemplated field experiences or which cannot so effectively be achieved by any available alternative means.

The next level of criteria for adding or enriching field instruction is concerned with definition. This definition is in two principal parts. One is definition of the benefits expected from the field instruction, that is, the preparation of educational objectives. The other is definition of the varieties of experiences that will be used to achieve the objectives. There are three principal kinds of standards for the definition of field instruction:

- The intended effects of the field instruction on students are clear to an informed reviewer of those objectives.
- Objectives for field instruction bear a clear and appropriate relationship to the desired characteristics of the social work graduate.
- The objectives comprehensively cover all areas of student capability appropriately within the scope of field instruction.

The principal standards for a definition of the nature of intended new field instruction are:

- There should be a clear delineation of the instructional sequences, methods, and materials that will be used to accomplish each educational objective.
- The intended sequences, methods, and materials should be consistent with current best accepted practice or be superior in some identifiable sense.

The next level of criteria is concerned with plans for the introduction of new field instructional experiences. These concerns have two foci:

- Plans should meld objectives and methods into an integrated instructional package. It should suffice to inform any qualified instructor what he is expected to accomplish with his students and the intended limits within which these accomplishments are to be achieved.
- Plans should clarify both the general strategy by which field instruction will be dovetailed with the total social work education experience and the administrative procedures required to accomplish this dovetailing.

The next level of criteria is concerned with actual establishment of intended new field instruction. Here the standards are based primarily on assurance that none of the desirable intentions established in prior planning have been eroded in transition to operations.

The next level of criteria is concerned with two immediate effects of field instruction. The first is the effect on capacity of the institution(s) to provide social work education. An increase in capacity may or may not be an objective of the new field instruction. In conducting a comprehensive assessment, however, it will almost always be desirable to determine what effect the new field instruction has on the number of students who can be accommodated. The other effect of concern at this level is the expansion of skills, knowledges, motivations, and attitudes which results from the new field instruction. Both rational analyses of new versus prior experiences and empirical comparisons of student behavior are in order in making this determination.

The next level of criteria is concerned with two somewhat less direct effects of the new field instruction. The first is the effect of the new field instruction on applications for social work education. Both the numbers and qualifications of applicants should be of concern. It will probably be very difficult or impossible to attribute changes in the numbers or qualifications of applicants precisely to new field instruction. However, when applicants cite the quality of field instruction as a positive reason for applying, it should be considered in evaluation. The other effect of new field instruction at this level is concerned only with new offerings at the undergraduate level. It is the effect undergraduate field instruction may have on the probability of entering graduate social work education. The effect can, of course, be in either direction, resulting in either an increased or a decreased probability of entering graduate school. Also, the effect may be either immediate or deferred. It is possible that undergraduates exposed to a particular set of field experiences may be more inclined to enter social work positions immediately upon graduation, but they may also go on to graduate school after some period of work experience. In any event, the relative rates of entry into graduate school should probably be taken into account in evaluating a project or the Program. Attributing entry rates for graduate education to new field instruction cannot easily be done without rigorous experimentation in which some students exposed to the new field instruction are compared to those not so exposed. Though much more equivocal, inquiry into the reasons why graduates make their occupational and future education choices may be of some use in making a determination of indirect effects of new field instruction.

The next level of criteria is concerned with what effect, if any, new field instruction has on the probability of entering social work. Here, too, there must be a concern for both quantitative and qualitative aspects. Field instruction which screens out students who would later find social work incompatible serves a useful function. The tricky part of determining the role of new field instruction in entry into social work is to find suitable comparison groups, groups having equivalent characteristics except for the field instruction. This will usually not be strictly possible and recourse may well have to be had to much broader comparisons of more groups, each of which is comparable in only limited ways.

The most ultimate level of criteria is concerned with demonstrating that individuals exposed to the new field instruction provide a better quality of social services than persons lacking such exposure. This demonstration is subject to all of the vicissitudes previously identified for the most ultimate level of criteria for adding new social work education opportunities. It has the additional complication of needing to partial out the effects of the new field instruction as distinct from the other social work education with which field instruction is associated.

Develop and/or Implement Social Work Education Innovations

The development and/or implementation of social work education innovations includes the following six areas:

- Making offerings more interdisciplinary (a hierarchy of criteria in this area is presented in Figure 9).
- Adding or enriching emphasis on specialized programs and/or problems (a hierarchy of criteria in this area is presented in Figure 10).
- Adding dimensions to social work roles (a hierarchy of criteria in this area is presented in Fig. 11).
- Integrating levels of instruction (a hierarchy of criteria for this area is presented in Figure 12).
- Integrating modes of instruction (a hierarchy of criteria in this area is presented in Figure 13).
- Developing and applying innovative methods of instruction (a hierarchy of criteria for this area is presented in Figure 14).

The first level of criteria for making educational offerings more interdisciplinary (Figure 9) is identifying the potential for improving social work education by making its content more, or at least differently, interdisciplinary in nature. It is in two parts – identifying additional disciplines that might be represented and identifying new material relating to already-represented disciplines. Criteria at this level should imply standards which require that new material and disciplines be clearly justified on the basis of legitimated social work education objectives.

The next level of criteria is concerned with demonstrating effective effort toward actual incorporation of interdisciplinary material in social work education. Here essential standards are of at least two varieties:

- The effort must be directed along lines clearly compatible with the broader social work education objectives. That is, efforts toward making social work education more interdisciplinary must not become self-justifying, but must be justified in terms of the larger social work education objectives served by such interdisciplinary content.
- The interdisciplinary material cannot be simply traditional training in related disciplines under a social work label. The new interdisciplinary material must be fully integrated into the main fabric of social work theory and practice.

The next level of criteria is concerned with the success of the efforts to incorporate more interdisciplinary material into the social work educational experience. The principal standard here is that the original intents for adding interdisciplinary material have been met without compromise, or that such backing off from original intent is fully justified in the light of circumstances.

The next level of criteria is concerned with how relevant and important the new material from other disciplines is for social work as that material has been incorporated into the social work education experience. These criteria imply asking, once the actual curriculum modification has been carried out, both whether the original intent was appropriate and whether the realization of that

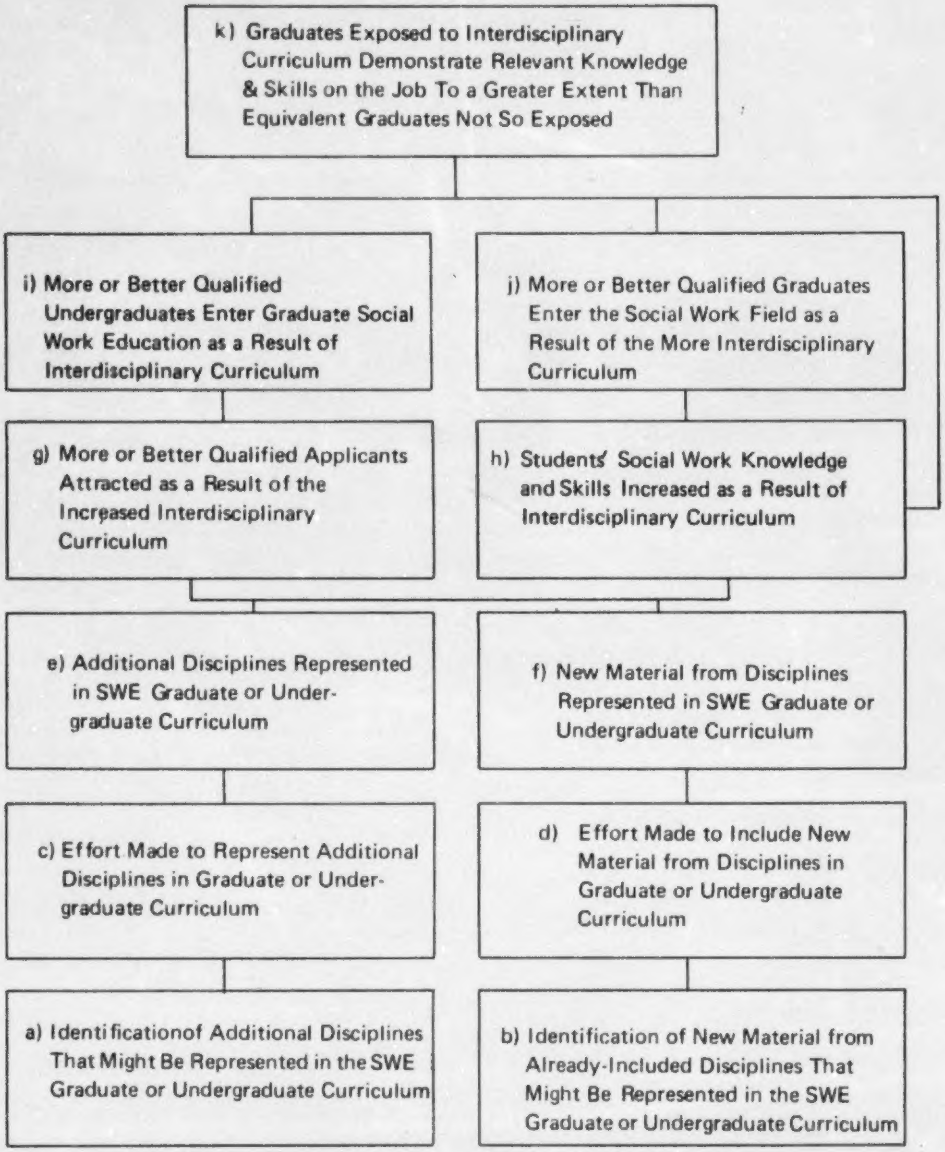
k) Graduates Exposed to Interdisciplinary Curriculum Demonstrate Relevant Knowledge & Skills on the Job To a Greater Extent Than Equivalent Graduates Not So Exposed
i) More or Better Qualified Undergraduates Enter Graduate Social Work Education as a Result of Interdisciplinary Curriculum
j) More or Better Qualified Graduates Enter the Social Work Field as a Result of the More Interdisciplinary Curriculum
g) More or Better Qualified Applicants Attracted as a Result of the Increased Interdisciplinary Curriculum
h) Students' Social Work Knowledge and Skills Increased as a Result of Interdisciplinary Curriculum
e) Additional Disciplines Represented in SWE Graduate or Undergraduate Curriculum
f) New Material from Disciplines Represented in SWE Graduate or Undergraduate Curriculum
c) Effort Made to Represent Additional Disciplines in Graduate or Undergraduate Curriculum
d) Effort Made to Include New Material from Disciplines in Graduate or Undergraduate Curriculum
a) Identificationof Additional Disciplines That Might Be Represented in the SWE Graduate or Undergraduate Curriculum
b) Identification of New Material from Already-Included Disciplines That Might Be Represented in the SWE Graduate or Undergraduate Curriculum

Figure 9. A Hierarchy of Criteria for Making Offerings More Interdisciplinary (Objective Area A-3)

intent was adequate. Not only must the curriculum with the integrated new material be considered in its own right, there must also be a concern for any material deleted from the curriculum to make room for the new material. Also, there is appropriately a concern for alternative material which might have been included in the curriculum in lieu of the new interdisciplinary material. That is, the new material must not only be appropriate in its own right, it must also be justified in terms of the alternative material which it displaces and/or precludes. The demonstrations implied here can most convincingly be provided by testing student capabilities under alternative curriculum configurations, but this will not usually be practicable. However, content analysis of curricula against social work education objectives can provide information of interest. Perhaps most important, the new material needs to be justified rationally against competitors for a place in the curriculum.

The next level of criteria is concerned with the effect of new interdisciplinary material in a curriculum on the number and qualifications of applicants for social work education. The problems here are analogous to those discussed for new field instruction.

The next level of criteria is concerned with these effects of new interdisciplinary material on students exposed to them. One is a determination of the extent to which students acquire the skills, knowledges, and behavioral tendencies intended by the new interdisciplinary materials. This is probably best established by some form of student testing. The second effect applies only to undergraduate level social work education. It is concerned with the effect of new interdisciplinary material on the probability of entering graduate social work education, and implies all of the problems discussed for the analogous criteria for field instruction.

Closely related to the issues involved in estimating the impact of new material on entry into graduate school are the issues having to do with the number and qualifications of students actually entering social work. Here again, the considerations suggested earlier for the analogous criteria for field instruction apply.

The final and most ultimate set of criteria is concerned with the effect of new interdisciplinary material on the social work performance of persons exposed to it. All of the difficulties in making judgments at this level, alluded to under field instruction, apply. It should be noted, however, that one need not make such judgments in a holistic and undifferentiated way. Properly developed and evaluated new interdisciplinary material will have clearly specified intended effects upon the characteristic performance of social workers exposed to it. Thus, in seeking information from graduates, work colleagues, supervisors, and recipients of services, it is not necessary to seek transparent evaluations of whether the graduates of interest are overall "better" in some holistic sense. Rather, one can seek information about performance characteristics which are not obviously desirable or undesirable to an individual unfamiliar with the rationale underlying the job follow-up.

The considerations relating to criteria for adding or enriching emphasis on specialized programs and problems (Figure 10) and to criteria for adding

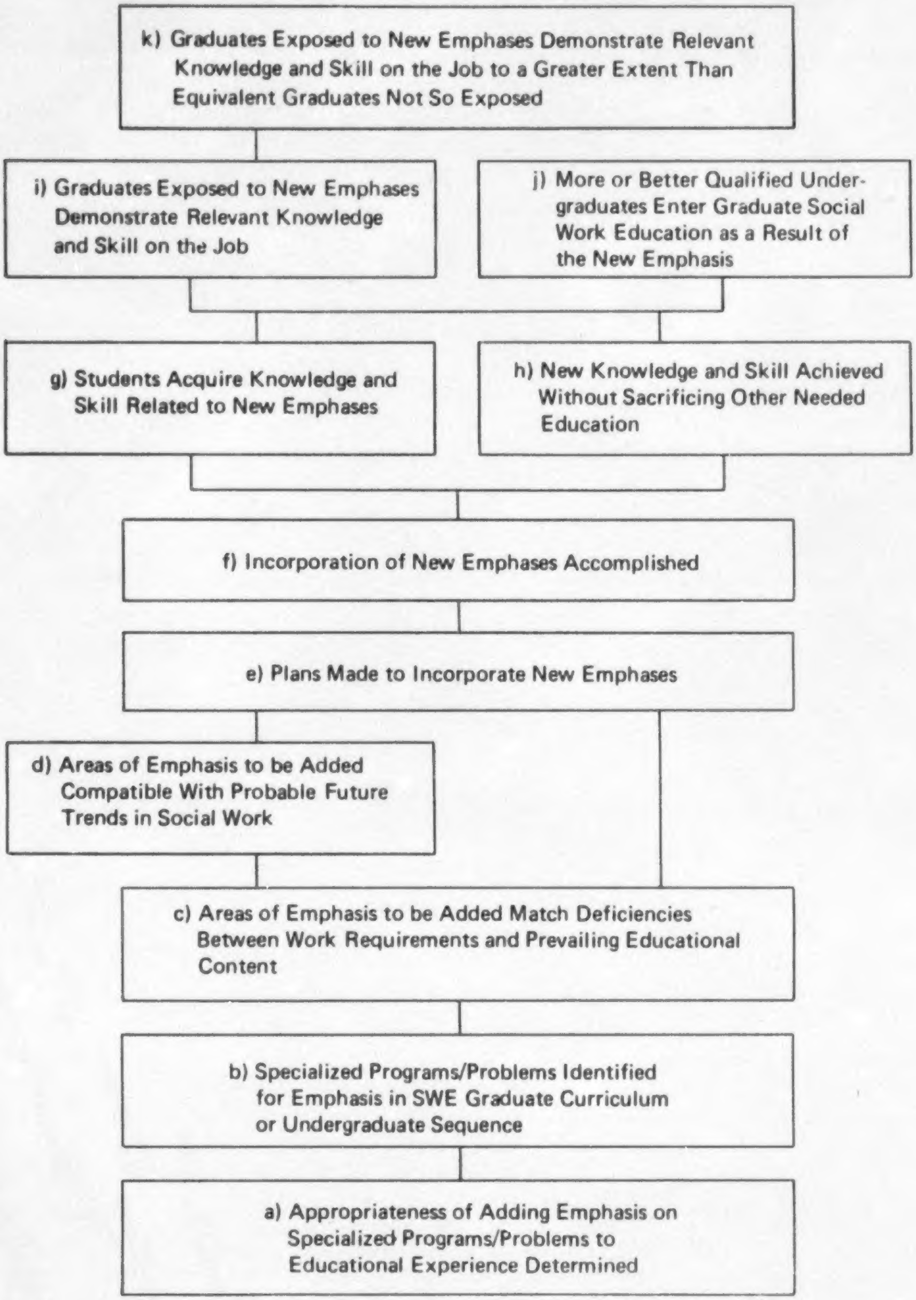
k) Graduates Exposed to New Emphases Demonstrate Relevant Knowledge and Skill on the Job to a Greater Extent Than Equivalent Graduates Not So Exposed
i) Graduates Exposed to New Emphases Demonstrate Relevant Knowledge and Skill on the Job
j) More or Better Qualified Undergraduates Enter Graduate Social Work Education as a Result of the New Emphasis
g) Students Acquire Knowledge and Skill Related to New Emphases
h) New Knowledge and Skill Achieved Without Sacrificing Other Needed Education
f) Incorporation of New Emphases Accomplished
e) Plans Made to Incorporate New Emphases
d) Areas of Emphasis to be Added Compatible With Probable Future Trends in Social Work
c) Areas of Emphasis to be Added Match Deficiencies Between Work Requirements and Prevailing Educational Content
b) Specialized Programs/Problems Identified for Emphasis in SWE Graduate Curriculum or Undergraduate Sequence
a) Appropriateness of Adding Emphasis on Specialized Programs/Problems to Educational Experience Determined

Figure 10. A Hierarchy of Criteria for Adding or Enriching Emphasis on Specialized Programs and Problems (Objective Area A-4)

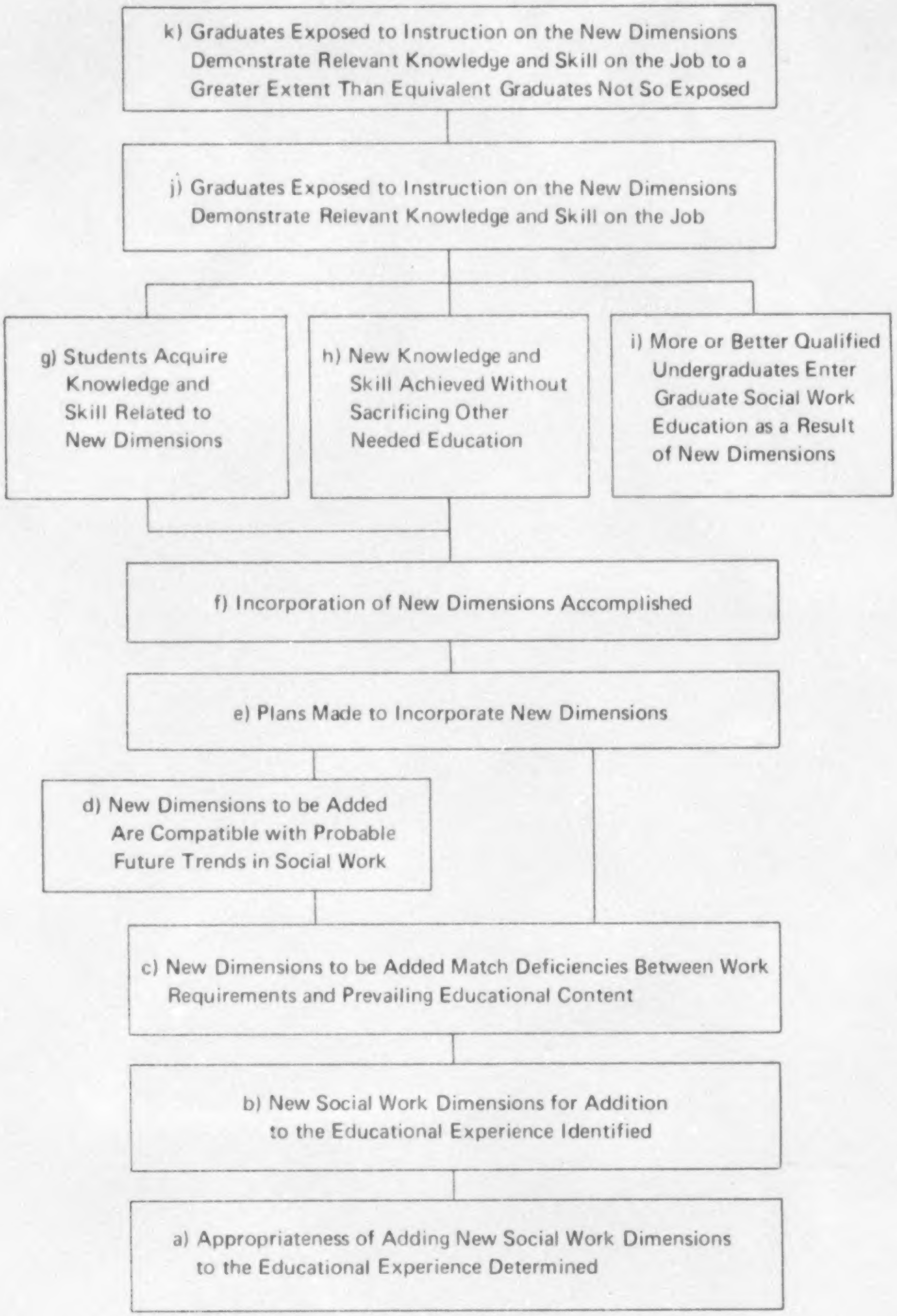
k) Graduates Exposed to Instruction on the New Dimensions Demonstrate Relevant Knowledge and Skill on the Job to a Greater Extent Than Equivalent Graduates Not So Exposed
j) Graduates Exposed to Instruction on the New Dimensions Demonstrate Relevant Knowledge and Skill on the Job
g) Students Acquire Knowledge and Skill Related to New Dimensions
h) New Knowledge and Skill Achieved Without Sacrificing Other Needed Education
i) More or Better Qualified Undergraduates Enter Graduate Social Work Education as a Result of New Dimensions
f) Incorporation of New Dimensions Accomplished
e) Plans Made to Incorporate New Dimensions
d) New Dimensions to be Added Are Compatible with Probable Future Trends in Social Work
c) New Dimensions to be Added Match Deficiencies Between Work Requirements and Prevailing Educational Content
b) New Social Work Dimensions for Addition to the Educational Experience Identified
a) Appropriateness of Adding New Social Work Dimensions to the Educational Experience Determined

Figure 11. A Hierarchy of Criteria for Adding Dimensions to Social Work Roles (Objective Area A-5)

dimensions to social work roles (Figure 11) are generally analogous to those discussed for field instruction and new interdisciplinary materials. Even more similar are the criterion considerations for these two areas of problems and work roles. To avoid a very high degree of redundancy in discussing these areas, only selected special considerations concerning the sample hierarchies are discussed.

It is well to note initially the close relationship between the two areas of objectives to which the respective criteria apply. Clearly, appropriate social work roles will be derived, at least in part, from the kinds of social welfare programs workers support and the problems they encounter in the field. Indeed, a decision as to whether innovative curriculum material derives more distinctly from new programs, problems, or roles will frequently be quite arbitrary. Both the programs/problems and the roles innovations are much concerned with bringing and/or maintaining the currency of social work education in the face of a rapidly changing social welfare environment.

What is unique about the area of programs and problems is the effort to draw into social work education essential features of the social work environment with which the graduate is likely to need to cope. The progression of these criteria seeks to assure that the important programs and problems are identified, appropriate choices are made among the candidates for inclusion in the curriculum, the transition from real-world environment to classroom or field instruction both retains the essential characteristics of the real-world phenomena and provides a meaningful educational experience, and the resulting experiences do, in fact, prepare students to perform more effectively in the face of programs and problems they meet upon entering social work. It is also essential, however, that criteria are applied which assure that preoccupation with particular programs and problems does not dominate the educational experience at the expense of equally or more important aspects of social work education.

The progression of criteria for adding dimensions to social work roles rather closely parallels that for adding emphasis on programs/problems. However, the concern for social work roles encompasses not only the new roles that may be required for new programs and problems, it also includes being responsive to the identification of more powerful and effective ways of dealing with traditional problems and supporting traditional programs. That is, criteria in this area cover both the addition of new roles and sharper definition of traditional roles. They are not limited to reflection of these improved role definitions in the educational experience, but must extend also to a concern for the effect of these role definitions on the social work performance of individuals exposed to them.

The sample hierarchy of criteria for integrating levels of instruction (Figure 12) follows a progression similar in many respects to all of those discussed on previous pages. However, there are a number of unique considerations which impinge upon the definition and application of operational criteria for integrating levels of instruction:

– There is far from universal agreement among social work educators as to the roles of and relationships between undergraduate and graduate social work education. This means that prior definition of the rules by which "better integration of levels" will be judged is of critical importance. If

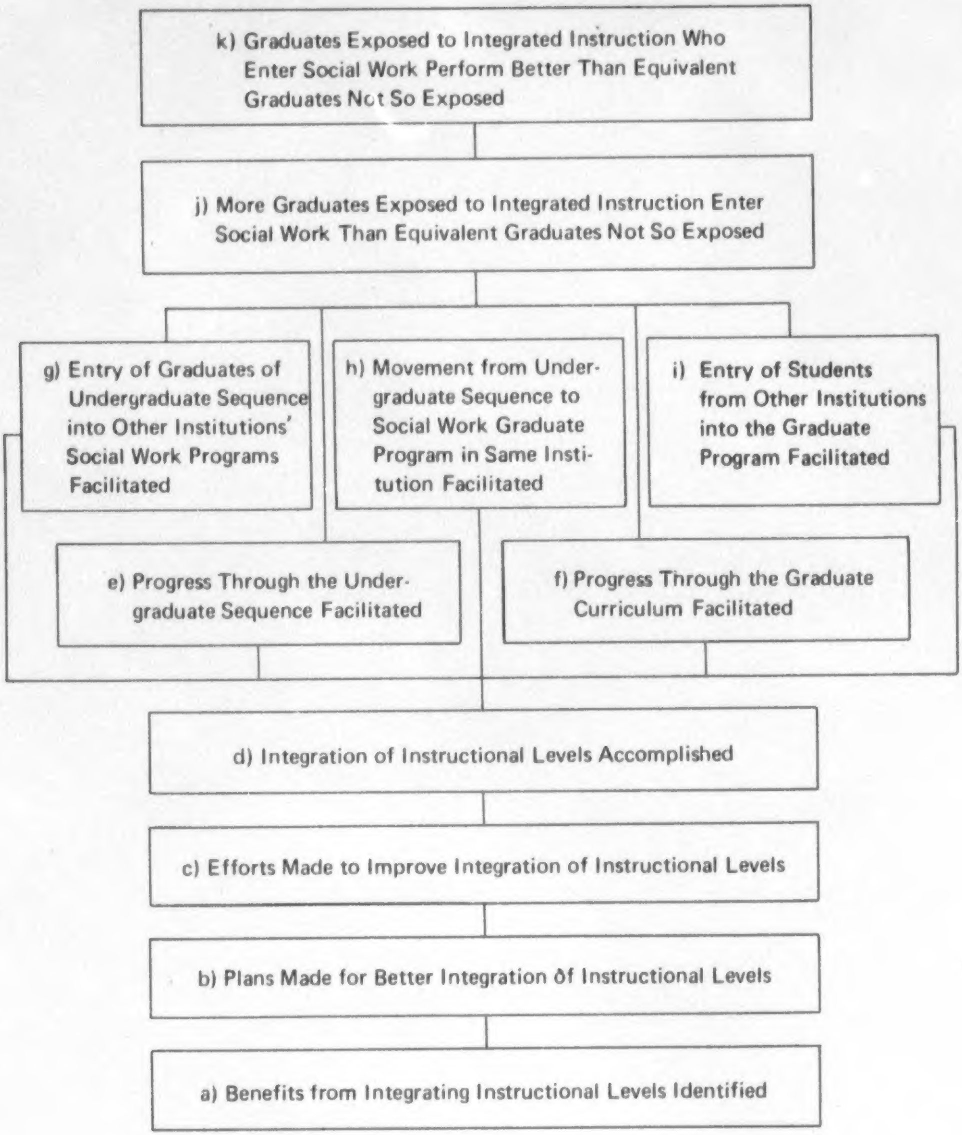
k) Graduates Exposed to Integrated Instruction Who Enter Social Work Perform Better Than Equivalent Graduates Not So Exposed
j) More Graduates Exposed to Integrated Instruction Enter Social Work Than Equivalent Graduates Not So Exposed
g) Entry of Graduates of Undergraduate Sequence into Other Institutions' Social Work Programs Facilitated
h) Movement from Undergraduate Sequence to Social Work Graduate Program in Same Institution Facilitated
i) Entry of Students from Other Institutions into the Graduate Program Facilitated
e) Progress Through the Undergraduate Sequence Facilitated
f) Progress Through the Graduate Curriculum Facilitated
d) Integration of Instructional Levels Accomplished
c) Efforts Made to Improve Integration of Instructional Levels
b) Plans Made for Better Integration of Instructional Levels
a) Benefits from Integrating Instructional Levels Identified

Figure 12. **A Hierarchy of Criteria for Integrating Levels of Instruction (Objective Area A-6)**

individuals with one model of optimum multi-level integration are responsible for the effort and individuals with a different orientation carry out assessment without clear prior agreement on objectives, philosophical differences rather than failure to accomplish intended objectives are likely to determine the outcomes of assessment. There are, for example, some graduate educators who feel that there are many backgrounds in the behavioral and social sciences which are superior to undergraduate social work education as preparation for graduate training in social work. Other persons responsible for undergraduate social work education have preparation for graduate work in social work education as a primary goal. Obviously, if persons from both persuasions are involved in an effort and its assessment, some precise definitions of intent and expectations are in order before major commitments are made.

– Integration of levels of instruction frequently involves consideration of multiple institutions since students commonly change institutions between their undergraduate and graduate education. Even in the same institution, it is not uncommon for undergraduate and graduate social work education to be administratively separated. All of this means that criteria for judging the effectiveness of efforts to integrate levels of instruction must allow for open-endedness. Undergraduate social work education must allow for effective transition into a number of different graduate contexts. Graduate social work education must accommodate students from a variety of undergraduate backgrounds. Particularly at the graduate level, it is desirable to allow for a kind of individualization of the educational process to minimize duplication between undergraduate and graduate experiences.

– Criteria for judging the success of efforts to integrate levels of instruction must take into account that beneficial effects may result only for students who experience both undergraduate and graduate social work education.

– Efforts to improve the integration of levels of instruction may be deeply imbedded in, and strongly related to, other kinds of objectives. For example, new field instruction, new interdisciplinary material, emphases on new programs and/or problems, and sharper definition of social work roles can all carry with them an intent to enhance the vertical integration of social work education.

The sample hierarchies of criteria for integrating modes of instruction (Figure 13) and for developing and applying innovative methods of instruction (Figure 14) are generally quite similar. The principal differences result from a somewhat more detailed breakout of levels and substantive issues at the same level for criterion areas relating to methods. The criterion considerations for both are sufficiently analogous to those previously outlined for other forms of social work education innovations that we will avoid undue redundancy here by limiting the discussion to items having special application to instructional modes and methods.

Criteria for integrating modes of instructions and for development and application of methods of instruction share the characteristic of being dependent

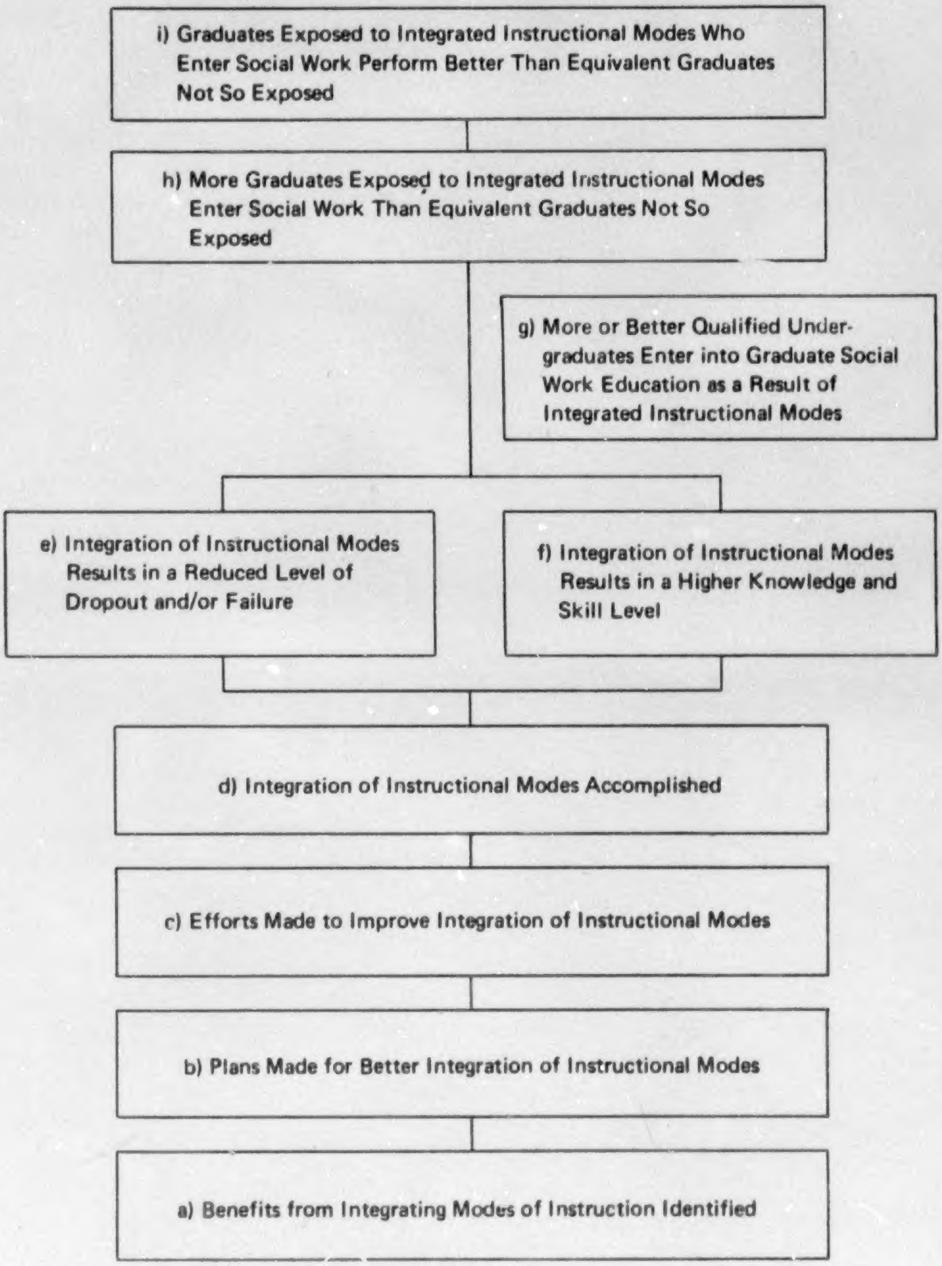
i) Graduates Exposed to Integrated Instructional Modes Who Enter Social Work Perform Better Than Equivalent Graduates Not So Exposed
h) More Graduates Exposed to Integrated Instructional Modes Enter Social Work Than Equivalent Graduates Not So Exposed
g) More or Better Qualified Undergraduates Enter into Graduate Social Work Education as a Result of Integrated Instructional Modes
e) Integration of Instructional Modes Results in a Reduced Level of Dropout and/or Failure
f) Integration of Instructional Modes Results in a Higher Knowledge and Skill Level
d) Integration of Instructional Modes Accomplished
c) Efforts Made to Improve Integration of Instructional Modes
b) Plans Made for Better Integration of Instructional Modes
a) Benefits from Integrating Modes of Instruction Identified

Figure 13. A Hierarchy of Criteria for Integrating Modes of Instruction (Objective Area A-7)

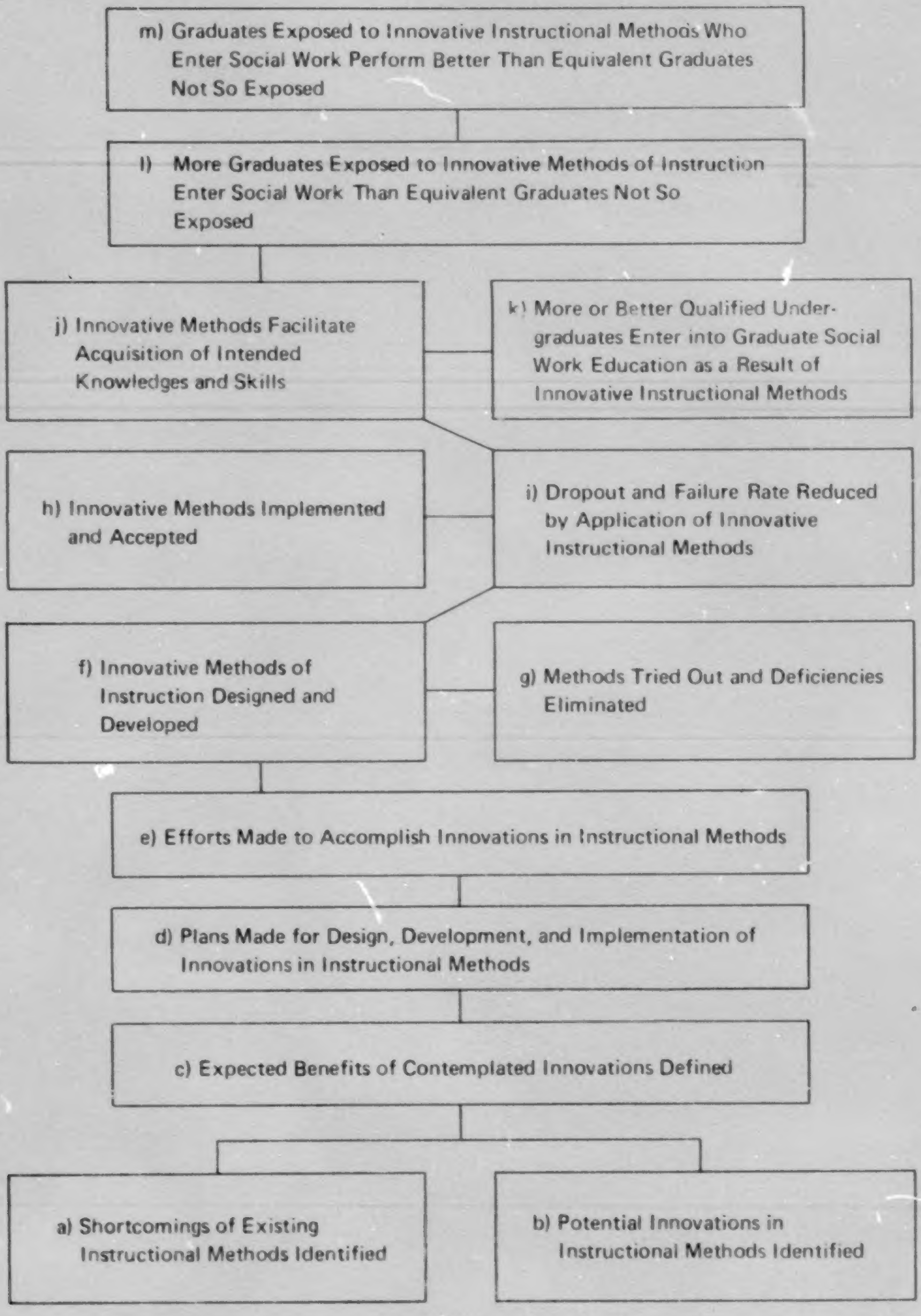
m) Graduates Exposed to Innovative Instructional Methods Who Enter Social Work Perform Better Than Equivalent Graduates Not So Exposed
l) More Graduates Exposed to Innovative Methods of Instruction Enter Social Work Than Equivalent Graduates Not So Exposed
j) Innovative Methods Facilitate Acquisition of Intended Knowledges and Skills
k) More or Better Qualified Undergraduates Enter into Graduate Social Work Education as a Result of Innovative Instructional Methods
h) Innovative Methods Implemented and Accepted
i) Dropout and Failure Rate Reduced by Application of Innovative Instructional Methods
f) Innovative Methods of Instruction Designed and Developed
g) Methods Tried Out and Deficiencies Eliminated
e) Efforts Made to Accomplish Innovations in Instructional Methods
d) Plans Made for Design, Development, and Implementation of Innovations in Instructional Methods
c) Expected Benefits of Contemplated Innovations Defined
a) Shortcomings of Existing Instructional Methods Identified
b) Potential Innovations in Instructional Methods Identified

Figure 14. A Hierarchy of Criteria for Developing and Applying Innovative Methods of Instruction (Objective Area A-8)

upon substantive educational objectives for their meaning. That is, one does not upgrade modes and methods of instruction in the abstract—they can be meaningfully evaluated only within the context of the desired student characteristics one is trying to achieve. Whether one is concerned with old or innovative educational substance, student characteristics provide the basic frame of reference within which criteria for instructional modes and methods must be assessed.

The development and application of innovative methods of instruction are closely linked to the integration of instructional modes. In the final analysis, there is a continuum of activities which must be arbitrarily distinguished. However, the distinction may sometimes be useful since it is sometimes possible to improve the integration of existing instructional methods without any significant new methods development—for example, pulling field instruction and classroom discussion into closer alignment without any fundamental change in the methods used for either. The converse does not hold, however. Any time there are significant innovations in methods of instruction, the full range of criteria for evaluating whether they are fully and effectively integrated into the total curriculum becomes potentially relevant.

B – Students

Obtain Students and/or Provide Student Services

Obtaining students and/or providing student services subsumes the areas of strengthening student services and making openings for minority and/or disadvantaged students. A sample hierarchy of criteria for strengthening student services is presented in Figure 15. A sample hierarchy of criteria for making openings for minority and/or disadvantaged students is presented in Figure 16.

A fundamental problem in assessment of student services is that parent educational institutions rightly provide a great variety of student services in the normal course of their operations. It would be neither feasible nor appropriate for SWE projects to duplicate these services. This means that the strengthening of student services under the SWE Project Grant Program will be limited in scope, and the criteria applied to such efforts must fully take into account the existing services of the institution. Every favorable judgment concerning action to strengthen student services under the project must include a consideration of how well such actions and their results dovetail with the main line of institutional student services.

As with all criteria arranged along a dimension of proximity, the criteria for strengthening student services begin with a definition of need. Separate consideration is given to outreach, in-school, and placement (job and further education) services because the profile of need might be quite different for each. Two standards apply to needs recognized in each area of services:

- Recognized needs fully account for existing services and potential for their expansion without efforts funded under the SWE Grant Program.
- Service needs are related to, and justified by, broader manpower and educational requirements and objectives.

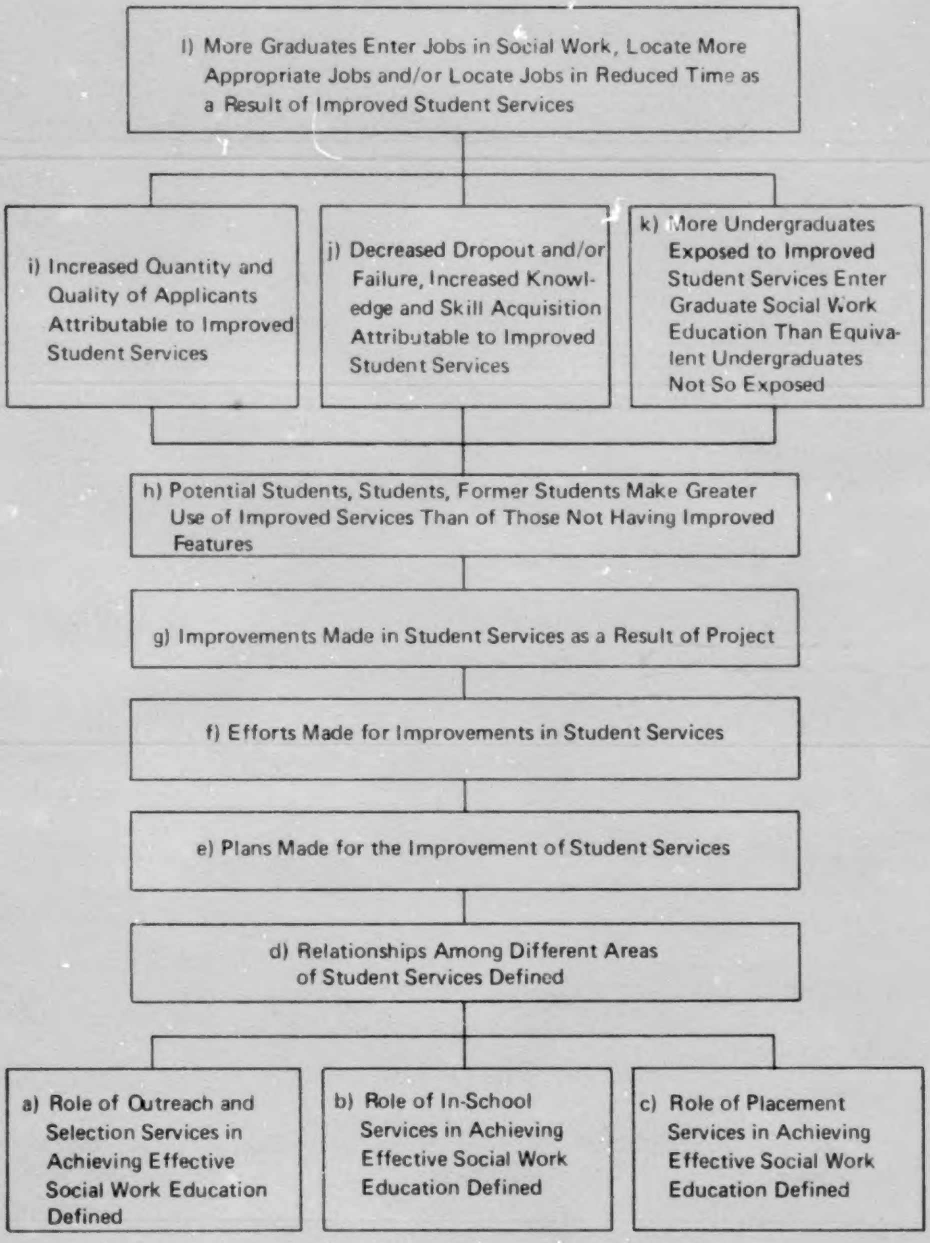
l) More Graduates Enter Jobs in Social Work, Locate More Appropriate Jobs and/or Locate Jobs in Reduced Time as a Result of Improved Student Services
i) Increased Quantity and Quality of Applicants Attributable to Improved Student Services
j) Decreased Dropout and/or Failure, Increased Knowledge and Skill Acquisition Attributable to Improved Student Services
k) More Undergraduates Exposed to Improved Student Services Enter Graduate Social Work Education Than Equivalent Undergraduates Not So Exposed
h) Potential Students, Students, Former Students Make Greater Use of Improved Services Than of Those Not Having Improved Features
g) Improvements Made in Student Services as a Result of Project
f) Efforts Made for Improvements in Student Services
e) Plans Made for the Improvement of Student Services
d) Relationships Among Different Areas of Student Services Defined
a) Role of Outreach and Selection Services in Achieving Effective Social Work Education Defined
b) Role of In-School Services in Achieving Effective Social Work Education Defined
c) Role of Placement Services in Achieving Effective Social Work Education Defined

Figure 15. A Hierarchy of Criteria for Strengthening Student Services (Objective Area B-1)

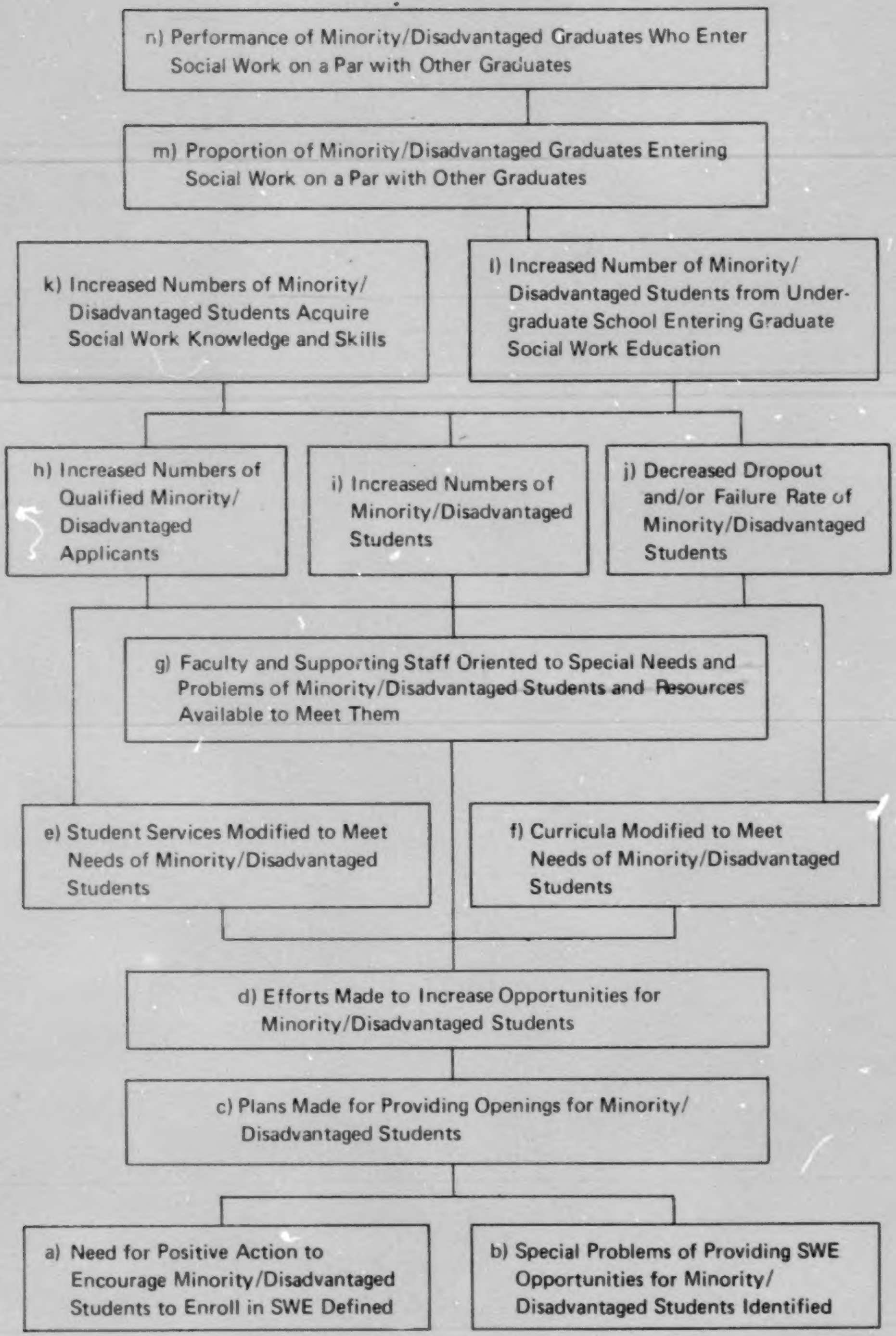
n) Performance of Minority/Disadvantaged Graduates Who Enter Social Work on a Par with Other Graduates
m) Proportion of Minority/Disadvantaged Graduates Entering Social Work on a Par with Other Graduates
k) Increased Numbers of Minority/Disadvantaged Students Acquire Social Work Knowledge and Skills
l) Increased Number of Minority/Disadvantaged Students from Undergraduate School Entering Graduate Social Work Education
h) Increased Numbers of Qualified Minority/Disadvantaged Applicants
i) Increased Numbers of Minority/Disadvantaged Students
j) Decreased Dropout and/or Failure Rate of Minority/Disadvantaged Students
g) Faculty and Supporting Staff Oriented to Special Needs and Problems of Minority/Disadvantaged Students and Resources Available to Meet Them
e) Student Services Modified to Meet Needs of Minority/Disadvantaged Students
f) Curricula Modified to Meet Needs of Minority/Disadvantaged Students
d) Efforts Made to Increase Opportunities for Minority/Disadvantaged Students
c) Plans Made for Providing Openings for Minority/Disadvantaged Students
a) Need for Positive Action to Encourage Minority/Disadvantaged Students to Enroll in SWE Defined
b) Special Problems of Providing SWE Opportunities for Minority/Disadvantaged Students Identified

Figure 16. A Hierarchy of Criteria for Making Openings for Minority and/or Disadvantaged Students (Objective Areas B-2 & B-3)

The next level of criteria for strengthening student services is concerned with defining relationships among the various kinds of student services. This involves assurance that relationships among contemplated new service features are recognized as well as relationships of contemplated new service features with existing services.

The next level of criteria is concerned with the effectiveness of plans for the improvement of student services. The criteria implied here go beyond those for criteria at lower levels by requiring delineation of a schedule of activities having good probability of achieving the desired changes. It is here that special assurance of compatibility between contemplated new service features with existing services may be involved. The next two levels of criteria are concerned with a demonstration that planned efforts have, in fact, been made and that the intended augmentations of student services have been achieved.

The next level of criteria is concerned with the use students make of new services and service features. Although use does not necessarily imply effectiveness of the new services, it is a necessary condition that services be effective. Use measures can be obtained by keeping a running record on all identified users at the time of use, as well as by getting retrospective reports from applicants, students, and former students. Where practical, running records are preferred because of the dangers of biased recall. A comparison of running records and recalled utilization will frequently be of interest.

There is next a multi-layered cluster of criteria concerned with the effects of strengthened student services—effects on the quality of applicants for social work education, on student dropout and/or failure rates, on the acquisition of desired knowledge and skills, on entering advance social work training, and on entering social work professions. As with all areas of criteria, rigorous judgments of effect at these levels can be made only with the support of data from relatively sophisticated experimentation. The perception of users of the services can be more simply obtained and may be both interesting and suggestive. However, only through the application of suitable experimental controls is it possible to isolate the effects of improvements in student services with relative assurance.

Making openings for minority and/or disadvantaged students involves strenthing student services as required to recruit minority and/or disadvantaged students, providing them with a suitable educational experience, and supporting their efforts to gain further educational and/or job opportunities. It may also require fundamental changes in the structure, content, and instructional methods involved in social work education.

Minority and disadvantaged students have been grouped here because:

- Historically there has been an association between certain kinds of disadvantagement and membership in certain minority groups.
- The motivations behind making openings for minority groups and for persons with disadvantaged backgrounds are sometimes similar.

However, none of the operational criteria applied in this broad area should assume that all members of a minority group are disadvantaged or that all economically or educationally disadvantaged belong to a traditionally defined minority group. Regardless of the kinds of disadvantagement or ethnic group representation involved, the motivation for special efforts to make openings is basically the same, i.e., to overcome any residual barriers to full representation of all social-economic backgrounds in the social work professions.

The first level of criteria for making openings for minority and/or disadvantaged students is concerned with definition of appropriate positive action and the special problems such actions will entail if they are to be successful. Principal among the standards appropriate to this level are:

- Identification of a population of potential students who can realistically be expected to avail themselves of openings, a population which fully meets definitions of minority representation and/or disadvantagement.
- Explication of the ways in which entry characteristics of students will relate to their performance characteristics upon graduation.
- Identification of institutional traditions and characteristics that must change to make the student openings real and the prospects for their successful education in social work favorable. This may mean that there will have to be a positive demonstration of motivation and capability of the institution to accommodate to special needs of minority and/or disadvantaged students.

The next level is concerned with the description of realistic plans for providing openings. Implied here are not just standards for plans which are realistic for obtaining the desired students, but ones which will assure them favorable prospects for successfully completing a social work educational experience and obtaining suitable employment in social work. The next level is concerned with a positive demonstration that appropriate efforts have been exerted to carry out the plans.

The next two levels are concerned with demonstrating successful accomplishment of plans–first by making suitable modifications to student services and curricula, and then by assuring that staff of the institution(s) are prepared to carry out the intent of the modifications. The standard having most immediate applicability to these levels is that existing knowledge concerning successful education of minority and/or disadvantaged students at undergraduate and graduate levels is fully reflected in the preparations made and operations carried out.

The next level of criteria is concerned with continued flow of the prescribed types of minority and/or disadvantaged students through the openings. This includes an adequate pool of applicants, mutual acceptance of an adequate number of students, and an adequate proportion of students who graduate. The raw numbers should be relatively easy to determine. Most difficult will be a suitable definition of what constitutes prior educational disadvantagement. Possibly the most difficult flow to sustain will be persons from an economically disadvantaged background because of the added economic burden placed on most individuals and families by post-secondary education.

The next level of criteria for making openings for minority and/or disadvantaged students is concerned with effects which are somewhat more remote and a great deal more difficult to determine–effects on the acquisition of social work knowledge and skills and on later educational experiences. The effect on knowledge and skill acquisition may look easy to determine but only at first glance. There are many social work skills which are not easily represented by test measures that can be administered in a school setting. Also, many of the conventional testing methods have spurious (especially verbal) elements which sometimes are biased against minority and disadvantaged groups. This is not to say that any relevant skills should not be considered for disadvantaged students, only that convenient measures frequently carry undesirable excess baggage that is not essential to effective social work. Similarly, non-continuation in advanced social work education may be due to factors quite separate from the quality of educational achievement of minority or disadvantaged students. Nevertheless, it is incumbent upon any project or program which sets objectives of making openings for minority and/or disadvantaged students to provide a positive demonstration that the students are acquiring the critical skills and are capable of successful completion of advanced training. Poorer test records or advanced educational experiences must be analyzed and justified fully; they must not be allowed to stand simply as a reflection of the way things are. If measures are biased, they must be refined. If the educational experience does not generate equality of capability, it needs improvement.

The final two levels likewise involve some formidable problems of generating relatively unbiased data. The first is the level of demonstrating that equal proportions of minority and/or disadvantaged graduates enter social work as is the case for other graduates, and that this entry is at equivalent wages and status. The final level is one of demonstrating that minority and/or disadvantaged graduates perform in social welfare occupations at least as effectively as others. These demonstrations suffer all of the difficulties of rigorous determination of relatively remote effects of educational processes, plus the special ones of overcoming (or at least identifying) all of the hidden respondent biases for or against minority and disadvantaged persons. Perhaps the most appropriate standards to apply at these levels are:

– An honest effort to allow minority/disadvantaged graduates to show up less well has been made, and there is no clear evidence of less success.
– Or, if there is evidence of less success, it has been analyzed in depth and appropriate adjustments of assessment and/or operations have been identified.

C – Faculty

Enhancing Faculty Capabilities

Sample hierarchies of criteria for two ways of enhancing faculty capabilities are shown in Figures 17 and 18. In one sense, enhancing faculty capabilities could be included as part of strengthening social work institutions since the enhancing of faculty capabilities should definitely serve to strengthen the institution. However, enhancement of faculty capabilities has been held out as a separate area on two counts:

- Enhancement of faculty capabilities is of major importance in its own right.

- Enhancement of faculty capabilities has not only institution-strengthening implications, it is frequently essential to support the achievement of other objectives.

The first level of criteria for both developing and augmenting faculty capabilities is concerned with defining suitable roles for faculty and support staff in carrying forward the SWE Program. Criteria for this role recognition are basically of two types:

- Criteria concerned with recruiting, organizing, or preparing faculty and supporting staff to carry out planned activities under the program. Standards here are that staffing plans must be commensurate with the objectives and activities proposed.
- Criteria concerned with the strengthening of long-range social work educational capabilities of the institution(s) involved in the program. Here the standards demand that the roles identified for faculty enhancement be realistic relative to the current status of staffing for the institution and that these roles be a logical and appropriate step in progressing toward long-range social work educational capability at the institution(s).

In the hierarchy for developing faculty capabilities, the second level of criteria is concerned with the identification of knowledge and skill competencies needed to be developed by SWE faculty.

The next level of criteria is concerned with the translation of perceptions of desirable staff development into practical plans for accomplishment of such development. Standards at this level demand both that the transition from desired ends to expectations be accomplished without essential compromise of the original objectives and that the expectations be realistic relative to resources and difficulties. The next level of criteria is concerned with a positive demonstration that efforts to develop faculty capability have been made in accordance with plans. The next level of criteria is concerned with evidence that development of the needed knowledge and skill competencies has been accomplished.

The next three levels of criteria are concerned with effects of faculty development on the quality and quantity of applicants for social work education, the acquisition of social work capabilities by students, entry of graduates into more advanced social work training, entry of graduates into social work jobs, and performance on the job. None of these effects can be rigorously determined without relatively sophisticated experimentation. In particular, it is difficult to partial out the impact of enhanced faculty separately from other program features. However, two non-experimental determinations can, if carried out with care and caution, contribute to useful operational decisions:

- Take measures of the relevant variables even if no suitable control measures are available and analyze rationally what of the measured effects are reasonably possible without the enhanced faculty.
- Find out from applicants, students, and graduates what their perception is of faculty role in each effect of interest. No matter how consistent these perceptions may be, they are likely to be highly subjective and subject to a variety of biasing tendencies. Nevertheless, they may be a

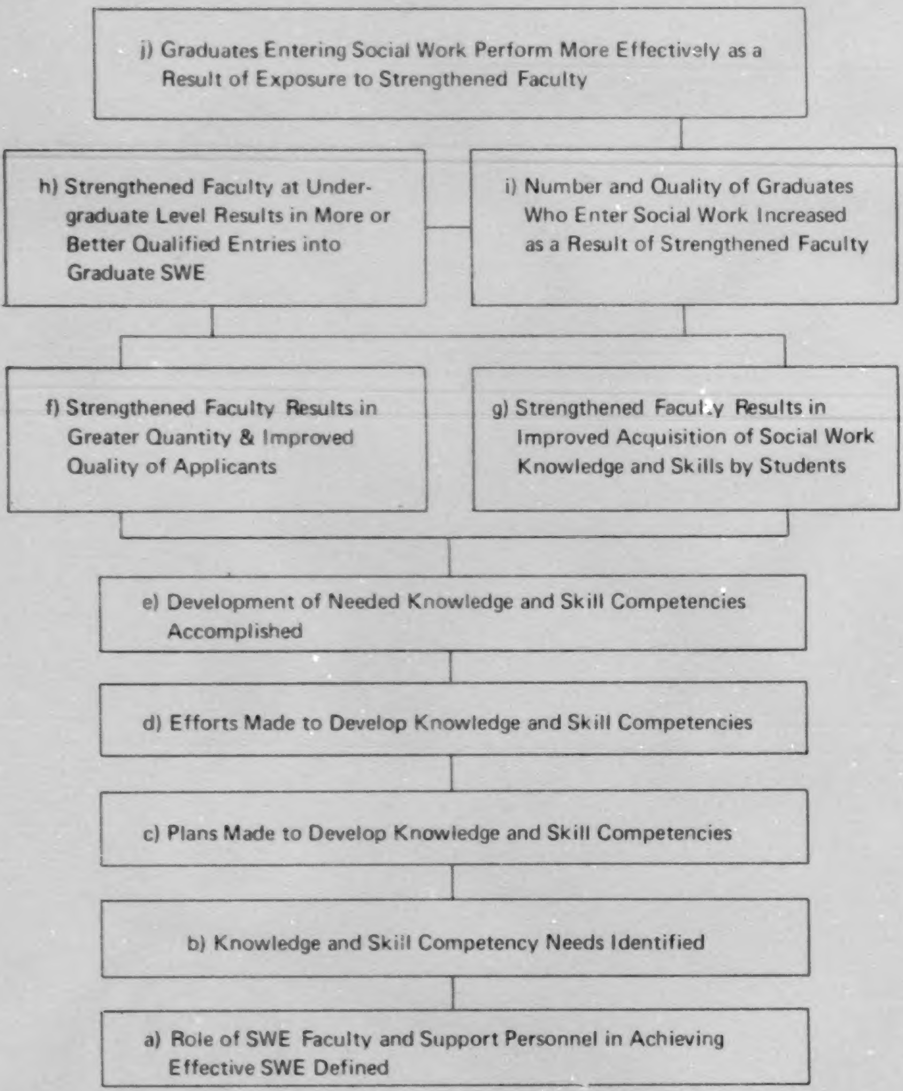
j) Graduates Entering Social Work Perform More Effectively as a Result of Exposure to Strengthened Faculty
h) Strengthened Faculty at Undergraduate Level Results in More or Better Qualified Entries into Graduate SWE
i) Number and Quality of Graduates Who Enter Social Work Increased as a Result of Strengthened Faculty
f) Strengthened Faculty Results in Greater Quantity & Improved Quality of Applicants
g) Strengthened Faculty Results in Improved Acquisition of Social Work Knowledge and Skills by Students
e) Development of Needed Knowledge and Skill Competencies Accomplished
d) Efforts Made to Develop Knowledge and Skill Competencies
c) Plans Made to Develop Knowledge and Skill Competencies
b) Knowledge and Skill Competency Needs Identified
a) Role of SWE Faculty and Support Personnel in Achieving Effective SWE Defined

Figure 17. A Hierarchy of Criteria for Developing Faculty Capabilities (Objective Area C-1)

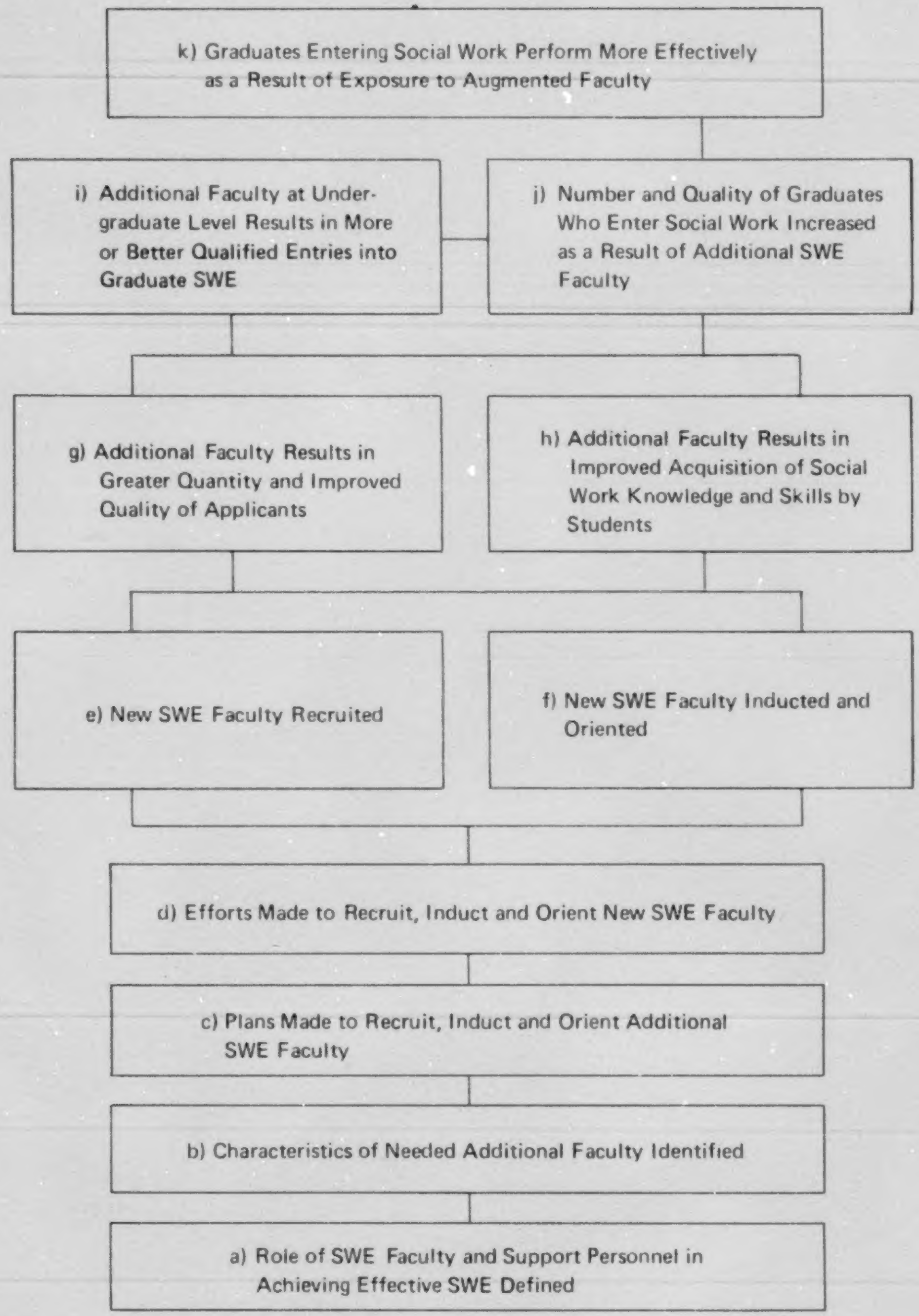
k) Graduates Entering Social Work Perform More Effectively as a Result of Exposure to Augmented Faculty
i) Additional Faculty at Undergraduate Level Results in More or Better Qualified Entries into Graduate SWE
j) Number and Quality of Graduates Who Enter Social Work Increased as a Result of Additional SWE Faculty
g) Additional Faculty Results in Greater Quantity and Improved Quality of Applicants
h) Additional Faculty Results in Improved Acquisition of Social Work Knowledge and Skills by Students
e) New SWE Faculty Recruited
f) New SWE Faculty Inducted and Oriented
d) Efforts Made to Recruit, Induct and Orient New SWE Faculty
c) Plans Made to Recruit, Induct and Orient Additional SWE Faculty
b) Characteristics of Needed Additional Faculty Identified
a) Role of SWE Faculty and Support Personnel in Achieving Effective SWE Defined

Figure 18. A Hierarchy of Criteria for Augmenting Faculty Capabilities (Objective Area C-2)

helpful source of insight in attempting to identify the possible and probable effects from enhancing faculty capabilities.

In the hierarchy for augmenting faculty capabilities, the second level of criteria is concerned with the identification of characteristics of additional faculty needed to achieve effective social work education. The next level of criteria is concerned with the translation of perceptions of desirable staff with practical plans for recruiting, inducting and orienting such staff. The next level of criteria is concerned with a positive demonstration that efforts to recruit, induct and orient faculty have been made in accordance with plans.

The next level of criteria is concerned with evidence that the anticipated staff recruitment, assignment, orientation, and training have been accomplished. Standards here demand that either the original results be demonstrated or that contingent actions taken in the face of inability to achieve these results be the best available under the circumstances.

The next four levels of criteria are concerned with effects of faculty augmentation on the quality and quantity of applicants for social work education, the acquisition of social work capabilities by students, entry of graduates into more advanced social work training, entry of graduates into social work jobs, and performance on the job.

D – SWE Institutions

Strengthen Social Work Education Institutions

The strengthening of SWE Institutions includes two principal areas:

- Building on existing resources (a sample hierarchy of criteria for this area is presented in Figure 19).
- Combining institutional resources (a sample hierarchy of criteria for this area is presented in Figure 20).

This area of strengthening SWE institutions is concerned with the effective organization and utilization of resources and focuses on utilization of the SWE project effort as a basis for long-range institutional development.

Criteria for the evolution of funding lie along a proximity dimension from recognition of a suitable role for SWE project grant funds in strengthening the institution(s) through actually progressing toward a solid base of non-Federal funding for institution-strengthening endeavors growing out of project efforts. In general, there should be no great difficulty in determining whether plans for obtaining supplemental and subsequent funds have been made, efforts to obtain alternate funding have been made, non-SWE project grant funds from non-Federal sources have been obtained, and prospects for long-range funding of the project seem to be favorable. The difficult assessment issue at the individual project level is in determining how important the project funding was in gaining the broader support. There is probably no feasible experimental means for making this determination. Thus, one can objectively establish what the efforts and results were but must usually depend upon rational analysis and conjecture in attributing results either to other efforts or to the project. At the program level, comparisons can be made between institutions funded under SWE grants and those not so

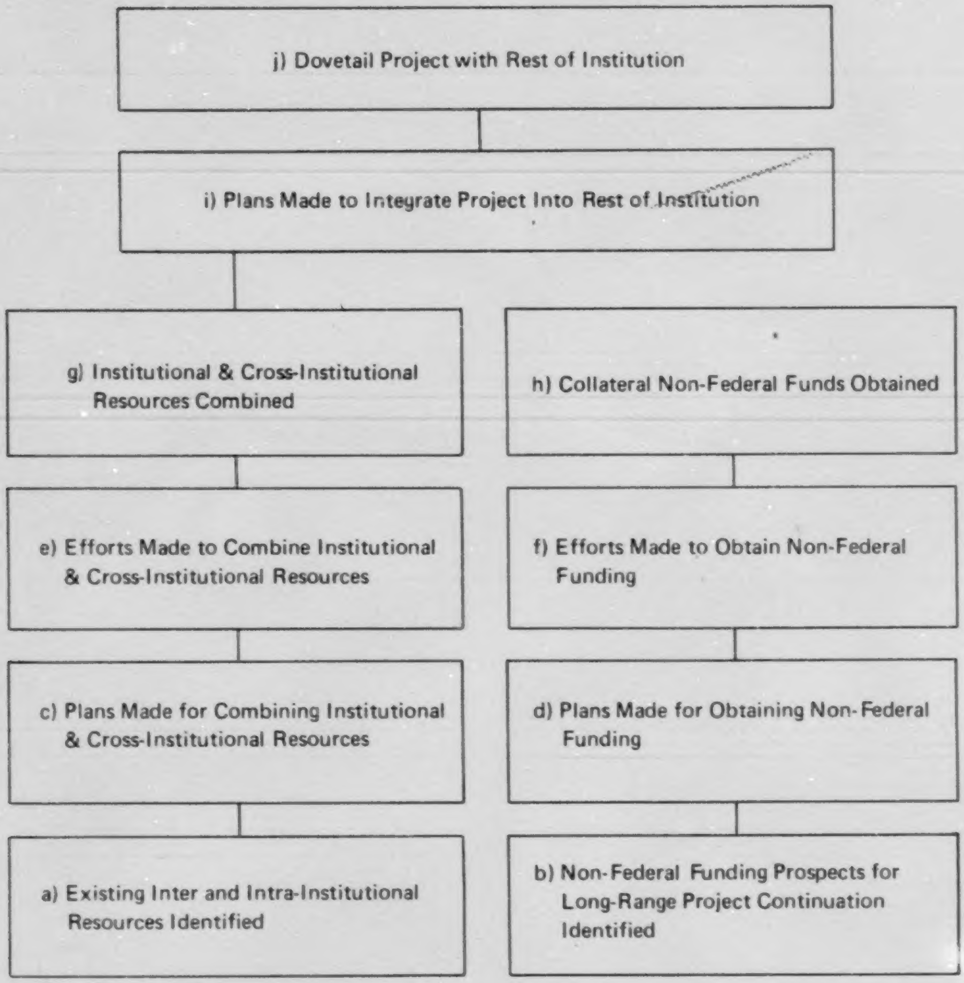
j) Dovetail Project with Rest of Institution
i) Plans Made to Integrate Project Into Rest of Institution
g) Institutional & Cross-Institutional Resources Combined
h) Collateral Non-Federal Funds Obtained
e) Efforts Made to Combine Institutional & Cross-Institutional Resources
f) Efforts Made to Obtain Non-Federal Funding
c) Plans Made for Combining Institutional & Cross-Institutional Resources
d) Plans Made for Obtaining Non-Federal Funding
a) Existing Inter and Intra-Institutional Resources Identified
b) Non-Federal Funding Prospects for Long-Range Project Continuation Identified

Figure 19. A Hierarchy of Criteria for Effective Organization & Utilization of Resources (Objective Area D-1)

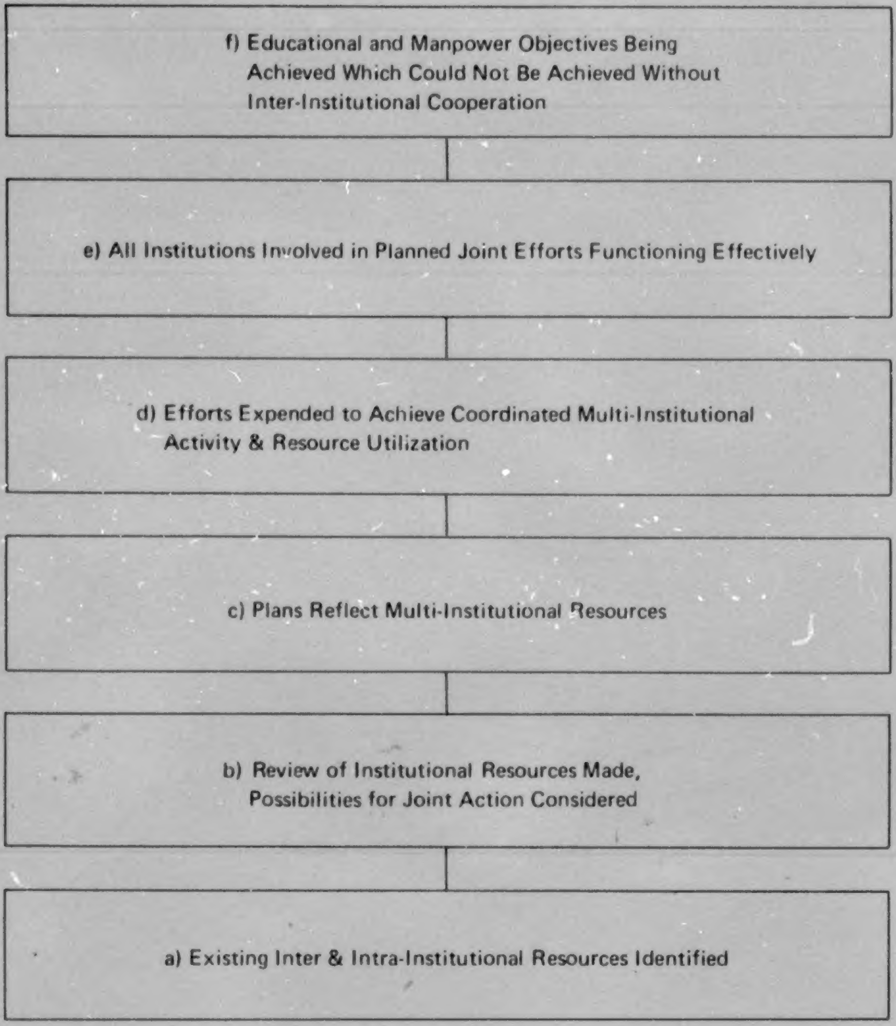
f) Educational and Manpower Objectives Being Achieved Which Could Not Be Achieved Without Inter-Institutional Cooperation
e) All Institutions Involved in Planned Joint Efforts Functioning Effectively
d) Efforts Expended to Achieve Coordinated Multi-Institutional Activity & Resource Utilization
c) Plans Reflect Multi-Institutional Resources
b) Review of Institutional Resources Made, Possibilities for Joint Action Considered
a) Existing Inter & Intra-Institutional Resources Identified

Figure 20. A Hierarchy of Criteria for Combining Institutional Resources (Objective Area D-2)

funded, but it will be extremely unlikely that these two sets of institutions will be comparable on all other relevant dimensions. Thus, rigorous experimental determination of project effects will probably not be feasible and a great deal of rational analysis and conjecture will have to go into any attribution of broad funding success to this "seed money."

The criteria for building on existing resources are concerned, basically, with how well the projects fit into the total structure and program of the parent institution(s). There is an underlying proximity dimension from recognition of the need to integrate the project into the rest of institutional life to the actual dovetailing of the project with the rest of the institution(s). At all proximity levels, minimum standards demand that the project make full use of existing resources of the institution(s) and not unnecessarily duplicate them. Criteria should also be concerned with the utility of resources organized or generated under the project for broader purposes of the institution(s).

An obvious extension of the notion of building on existing resources within an institution is to combine resources across institutions for purposes of social work education. Criteria in this area lie along a proximity dimension with levels of recognizing the appropriateness of combining resources across institutions, reviewing the relevant resources of various institutions, considering the prospects for joint action on social work education, establishing plans for the application of multi-institutional resources to problems of social work education, applying effort toward coordinated multi-institutional activity and resource utilization, effective functioning of all involved institutions within the framework of planned joint efforts, and achievement of educational and manpower objectives which could not be achieved without inter-institutional cooperation.

In general, the criteria for combining institutional resources can be straightforward depending in the main upon simple description of progress in cross-institutional involvement. Two factors, however, present complications. At all levels of proximity, the means of identifying lost opportunities are likely to be limited. That is, though evaluation of positive cross-institutional resource application is likely to be relatively straightforward, it is likely to be quite difficult to determine whether all of the reasonable alternatives for such inter-institutional cooperation have been explored. Only if such alternatives are somehow identified can the wisdom of their choice or rejection be evaluated. To conduct a thorough, independent audit of possible multi-institutional resource uses will seldom be practical, and assessment may have to be limited to the most obvious missed opportunities. The second factor which complicates the definition and application of criteria for combining institutional resources is limited to the most ultimate level. This is the difficulty of determining the net effect of combined versus independent resource application. There will almost never be a really definitive answer to the question of what would have happened if each institution had gone ahead unilaterally. One will almost always be limited to knowledge as to what did happen and a best guess as to what might have happened if institutional resources had not been combined.

ASSESSMENT CRITERIA

Effective assessment does not involve application of operational criteria to data and measures regardless of their quality. Rather, it involves the concurrent application of assessment criteria which have as their principal purpose a definition of data quality. Their consideration before data are gathered, before measures are made, and before data have been fully processed can have a profound effect on the overall quality of assessment.

There is a dual purpose behind the delineation of assessment criteria. First, only by recognizing the factors required in effective assessment can one strive intelligently toward the best achievable assessment in any given circumstance, no matter how constrained the possibilities may be. Second, though it is well to recognize that assessment is the handmaiden to operational decision making and operational decisions must be made on the basis of available information, it is essential that the quality of assessment information be properly placed in context. Over the long haul, it is at least as important to know how bad the basis for one's decisions is as how good.

This chapter contains three principal sections. In the first, classes of assessment criteria are identified and discussed. In the second, sample experimental designs are described and evaluated. In the third, ways of using different kinds and sources of data for valid inference are suggested.

TYPES OF ASSESSMENT CRITERIA

In Table 12 the principal classes of assessment criterion variables are identified and defined. There are, of course, additional dimensions to the quality of assessment that could be identified and a great variety of different ways in which the variables identified in Table 12 could be organized and classified. However, adequate attention to the criteria implied in Table 12 would go a long way toward assuring effective assessment.

Validity is the paramount criterion, and bias in data is usually the greatest threat to valid inference. Internal validity is concerned with drawing correct conclusions about the individuals and events actually studied. External validity is concerned with correctly generalizing from the sample studied to some broader population. It is very unlikely, of course, that a study which is invalid internally can have external validity.

Table 12

Principal Classes of Assessment Criterion Variables

VALIDITY is the class of criterion variables by which one judges whether assessment results are appropriately reflective of the events or conditions in the real world. Some significant aspects of validity are delineated below.

Relevance is concerned with whether the measure or assessment results, even though they accurately reflect real-world events, are appropriately within the Program being evaluated. To be relevant, a measure must bear on the legitimated objectives of the SWE Program in some non-trivial way.

Bias is concerned with the extent to which results and conclusions are representative of the population of events to which they manifestly refer. There is an internal and an external concern. Internal bias involves inaccurate reflection of the population supposedly assessed. External bias involves inaccurate generalization of results and conclusions to samples of individuals and events not directly assessed, that is, where assessed events are not representative of others to which assessment results are applied.

Sensitivity is concerned with the ability of the assessment to detect evaluative dimensions which may not be obvious. For example, close-ended questionnaires may so focus an assessment that it completely misses the point so that many of the project directors think the whole program activity is in the wrong ball park. Sensitivity is also concerned with the size of differences that can be detected along identified dimensions.

Comprehensiveness has to do with the extent to which the assessment deals with the full range of significant aspects of program/project operation and impact including cost.

Timeliness is simply the assurance that assessment data will be planned into the project at times when it will permit adjustment and change suggested by the data. The prevalence of failure to meet this criterion comes dramatically to light when project directors are asked, "If you were starting over, what would you do differently?" Many of the decisions to do "differently" could have been made early in the project at considerable savings in time and cost, had the criterion of assessment timeliness been met.

Importance has to do with the "practical" significance of the assessment results. If the measures have little or no bearing on the intended use of results, they do not meet the criterion of importance.

RELIABILITY refers to the degree to which consistent results are obtained in two or more presumably comparable situations. Sources of unreliability include:

Measuring instruments which do not always record identical phenomena in an identical way.

Respondents or subjects whose behavior has a random component.

Small samples of individuals or events which result in unstable estimates of population parameters.

EFFICIENCY is concerned with the extent to which assessment is responsive to cost and time constraints and accomplishes its useful purposes without waste.

We shall, in the remainder of this section, examine the following six broad sources of threats to valid inference:[7]

- Treatments—identifying and defining worthwhile issues to study.
- Entities—properly selecting and assigning individuals and elements to be studied.
- Attributes—eliciting appropriate information from and about entities studied.
- Time—separating intended effects from natural evolution.
- Confounding—avoiding confusion concerning interacting variables.
- Analysis—exploiting data without bias.

Treatments

As was indicated in the earlier chapter on *Objectives*, there is a considerable and complex progression from developing a criterion model, through the establishment of precise operational objectives, to the planning and implementation of specific project or program activities. If this sequence is defective, it may lead to operational disaster, but assessment may still be effective as assessment. That is, the assessment may correctly record a serious operational failure. However, even if the progression from criterion model to specific activities is brilliant, assessment can be so invalid as to be a threat to the operational future of the project or program.

Invalid assessment can come about from failure to reflect in the assessment what is most important about operations. This can result from inadequate understanding of operational dynamics, inadequate understanding of the way assessment mirrors operation, or capitulation to expediency in accepting easy rather than relevant assessment. Perhaps the worst case of all is when assessment expediency drives operations, rather than assessment deriving from operational priorities. Let us suppose, for example, that there is available a convenient battery of tests for measuring social welfare attitudes. Although the attitudes represented have only a tenuous relationship to the central objectives of the project and have never been empirically related to measures of social work performance, they are the only easily measured phenomena having any seeming relevance to the original intent of the project. So to assure a positive assessment outcome, the project becomes increasingly one of preparing students to reflect proper testing attitudes. The assessment, of course, almost completely invalidates the effort no matter how superior the experimental students may score in comparison to other groups.

One of the ironies of assessment which fails to come to grips with the important operational issues is that it may have excellent internal and external validity – of a wholly trivial and meaningless sort. That is, it may demonstrate real differences between experimental and control conditions – and such differences may be generalizable and replicable. But they may also be essentially irrelevant to project or program intent and, therefore, more misleading than useful.

---

[7] A key document in the organized understanding of factors affecting the validity of experiments in social settings is one by Campbell (1957). A subsequent chapter by Campbell and Stanley (1963) fully covers and expands the earlier article and has become a classic in its own right. A book by Webb, Campbell, Schwartz, and Sechrest (1966) expands the Campbell and Stanley analysis of measurement factors that may lead to invalid inference. Bracht and Glass (1968) have clarified and expanded the Campbell-Stanley and Webb, et. al. conceptions of external validity. Suchman (1967) has covered some of the same issues as the above and some additional issues in valid inference from the point of view of public service and social action programs.

Entities

There are two basic issues in sampling entities for valid assessment. The first is to include in the assessment persons and other elements which will fairly represent the purposes and accomplishments of the project or program. The second is to assign entities to categories, groups, or conditions in such a way that valid comparisons can be made.

Sampling for fair representation involves an extensive technology in its own right. We will not attempt to summarize that technology in any comprehensive way here, particularly since there are a number of extensive treatments of the topic readily available.[8] Our observations here will be limited to a few of the most elemental:

- The population available for assessment is almost always restricted in ways which make it less than strictly comparable to the target population to which one would like to generalize. Projects and programs do not start in a vacuum nor without precedent. The involved institution(s) have a geographic region from which students and faculty are drawn, supporting staff, reputation for educational quality, recruiting mechanisms, and many other relevant characteristics which can be expected to change over the period of interest. Thus, the institution is not strictly representative of itself from one period to another, let alone representative of other institutions in any simple sense. This problem of restrictions on entities available for assessment versus populations to which one would like to generalize is not limited to individuals. The materials and information available for assessment will usually represent a more restricted range than one would like for generalizing assessment results.
- Generalization is at least a two-step process. First, one must make inferences about how adequately the sample of entities actually used in the assessment represents the accessible population. Second, one must make inferences about how adequately the accessible population represents the target population, the one to which it would be desirable to generalize.
- One never knows precisely how closely the assessed population represents the target population. Even if one were to have an exact representation at the time assessment takes place, dynamics of the social environment make its degree of relevance to future circumstances uncertain.
- The classic methods of random and stratified random sampling are frequently not feasible, not only because of restrictions on accessibility,

---

[8] Kish (1965), for example, describes sampling theory and practice with an emphasis on human populations.

but also because there is no roster or other population framework from which to make such random selection.

- Any group selected on the basis of less than perfectly reliable measures can be expected to exhibit a regression toward the mean on subsequent administrations of the measure. Regression for persons selected on the basis of high scores can be mistaken for a loss of capability or resistance to training, regression for persons selected on the basis of low scores can be mistaken for training effectiveness. Let us suppose we observe 1,000 individuals throw dice for 100 throws each. Let us suppose we select the 100 poorest performers, give them training in how to throw dice, test them on another 100 throws of the dice. We would now expect them, on the average, to do as well as the entire original group of 1,000, just as we would expect them to do if we had given them no training. Now this expectation is based on the assumption of zero correlation between the first and second sets of throws. If there were some, but less than perfect, correlation between the first and second sets, we would expect the regression toward the mean to be less pronounced but still present. Thus, if there is selection on the basis of prior scores, one must be alert to the possibility of regression effects being confused with effects from project or program manipulations.
- The problems of generalization from research and from assessment have many similarities, with one important difference in emphasis. Research, especially of the less applied variety, may be concerned with generalization to a population which is not immediately accessible for operational involvement. Assessment is almost always and immediately concerned with accessibility for operational involvement. Even when assessment is concerned with some population to which there is limited access, it is likely to be in terms of estimating what portion of that population is being or can be reached operationally.
- Although sampling of entities poses some difficult problems for assessment and can seldom be as rigorous as one would like, it is an important consideration in valid assessment. In particular, some of the most serious errors of inference can be avoided by full awareness of possible sampling bias.

Once entities to be involved in an assessment have been selected, their assignment to categories and groups is an important issue in achieving valid assessment. Selection of like persons for comparison groups can help to smooth out some of the difficulties in the original selection. In the example of the dice throwers, the effects of regression could have been neutralized by randomly assigning half of the 100 ineffective throwers to a group receiving training and the other half to a group not receiving training. Both would have regressed equally, and in all probability would have ended with equal scores on the second set of throws.

It is essential, though, that bias not enter into the assignment with resultant selection of unlike persons for comparison groups. Suppose in the dice-throwing example the 100 most effective throwers were assigned to a "conventional" training class and the 100 least effective throwers were assigned to an "experimental" training class. It would look as if students in the experimental group had learned a lot and students in the conventional classroom had lost an equivalent amount of skill.

Random assignment of individuals and treatments to groups is always preferred. Frequently, of course, intact groups must be used for assessment with reduced chances for group comparability, greatly increased complexity of analysis, and reduced prospects for valid inference (Elashoff, 1959).

Internal Validity. Internal validity is most profoundly affected by the assignment or categorization of entities, since non-random assignment is likely to result in groups with differences which are likely to be confused with effects from the project or program. As we saw in the example of selecting dice throwers, faulty selection of entities for study can result in effects which may be confused with those of later project "treatments." More typically, however, the selection of entities which are not representative of the target population will still permit relatively valid internal comparisons, even though the results do not generalize well to the target population.

External Validity. As is typically the case with internal validity, any misleading results within the study would be carried over into false generalizations to some broader population. Thus, assignment of entities to comparison groups has a profound effect not only upon internal validity but also upon validity to the extent that generalizations are made from the assessment. Selection of non-representative entities will, as previously indicated, also result in error if generalizations are made to a target population not appropriately represented.

Attributes

In order to carry out reasonable assessment, it is a basic necessity that attributes or characteristics of entities selected for assessment be measured. Valid measurement constitutes a considerable technology and many considerations in its own right (Webb, et al., 1966; Horst, 1966). We will not attempt an exhaustive review of that technology here, but will limit the description to three broad areas of consideration which can profoundly affect the validity of inferences drawn on the basis of attribute measurement:

- Just as it is essential that treatments and entities for assessment be selected with care, it is also essential that the proper attributes be measured. Valid assessment cannot occur unless attributes which reflect the impact of project or program operations are measured, or at least observed and described in some fashion.

- The assessment process can modify the operational environment in ways that can adversely affect the validity of attribute measures. Assessment arrangements and activities can amplify distortions already engendered by individuals' realization that they are involved in a special project or program. The usual effect from realizing that one is a "guinea pig" is to enhance performance regardless of the kind of treatment involved (this is the classic "Hawthorne" effect widely described in industrial psychology texts). Sometimes, especially if the individual has had an excess of being a guinea pig, the assessment situation can be disruptive to his normal performance. The age, sex, race, and other attributes of persons conducting the assessment can influence the responses of individuals who are being studied. The auspices under which assessment data are obtained may have a potent effect on responses. If the individual or agency is prestigious and closely identified with objectives of the effort and the respondent is favorably disposed toward the effort, it is especially likely that responses will be slanted toward positive results. Respondents generally try to provide what they estimate will please authoritative figures, even if responses are anonymous and especially if they are not. The assessment situation may also trigger role selections which are atypical for the respondent. This is not to say that he is "acting phony"; the role might be quite in accord with his values and beliefs, even though he acts out these particular values and beliefs only under very special circumstances. For example, assessment situations may make respondents much more inclined toward analysis and critical of society than would be the case in normal on-the-job circumstances.

- The actual measurement instruments and techniques can engender unintended effects – changes in knowledge, skill, attitude, and motivation. Special testing for purposes of assessment may actually cause assessed individuals to be different from others not so assessed. Measures can also distort information about attributes of respondents. Misunderstandings may occur on the part of respondents concerning the precise nature of information desired, with a resultant likelihood that the evaluator will interpret the data as being in response to his intent rather than a reflection of the respondent's differing interpretation of his intent. There are population stereotypes which can be confused with other, more relevant, attributes. For example, most people are more inclined to agree with a favorable statement than they are to disagree with its negative.

Internal Validity: The principal threats to internal validity from the measurement of attributes come from differential measurement of "experimental" and "control" groups. If, for example, a group that is being trained under a new experimental curriculum receives a great deal more than the control group of the sort of testing used for criterion comparisons with groups trained by traditional curricula, differences may be due to test wiseness rather than to any relevant skills or knowledge. If, in some way, measures of attributes do not accurately reflect the attributes of interest, the assessment is not relevant to its central purposes no matter how unbiased and real differences on obtained measures may be.

External Validity: To the extent that assessment procedures influence and distort the attributes they are seeking to describe, the assessment results cannot accurately be generalized to situations where such assessment intervention is lacking. Thus, obtrusive assessment, that is, assessment which has a marked influence on the attributes of interest, can have self-defeating properties unless such assessment is to be always a part of future operations.

Time

Time is so pervasive that it has been implicit in much of the foregoing discussion of potential threats to validity, particularly the discussion of sampling entities. Time will also be important to the next discussion on confounding. Even with time being a recurrent theme in all other areas of validity considerations, a number of uniquely time-dependent factors remain:

- Cyclic factors involve obtaining assessment measures on a schedule such that time of day, week, month, year, or other recurrent periods will not bias results.
- Historic factors involve design of assessment for insensitivity to related events which occur during the period of assessment, or at least for awareness of the kinds of effects which external events may have on assessment results.
- Maturation factors include allowance for the kinds of change which may occur during the period being assessed, but which are not a result of the program or project activities being assessed. For example, relevant student capabilities may grow as a function of influences quite apart from the project or program.
- Mortality factors involve the non-random dropout of entities, usually individuals, of interest over the course of a project or program, such that unrepresentative respondents may remain for the assessment. For example, there is greater likelihood that students who do not find innovative curricula compatible will drop out than will students who do find them to be compatible. The dropouts may not be so available to express their incompatibilities as other students are to express their compatibilities.
- Change may occur in the assessment instruments themselves from one administration to another. Some of this change may be due to the influence of unfolding events upon meanings and values. Other change may be due to progressive effects on the skills and motivations of individuals administering and scoring instruments. Additional change may occur as a result of communication, prior to exposure to the instruments, with persons who have already had exposure to the instruments.
- Returns on project and program often can diminish rapidly. Early promising results may be entirely accurate insofar as they go, but be grossly misleading if extrapolated. For example, the addition of a first key faculty member may have an effect entirely out of proportion to any subsequent faculty additions. Efforts can also lose their potency over time. Project and programs enjoying remarkable success in their early enthusiasm may become moribund and ineffectual.

Internal Validity: Time and its concomitants are a fundamental threat to internal validity. It is all too easy to mistakenly attribute observed changes to project or program effects. Only through assiduous concern for the other sources of change is it possible to have reasonable confidence that observed changes are due to project or program activities.

External Validity: Even if perfect internal controls for time factors are made, time will erode the validity of generalizations based on a finite assessment. Some generalizations will erode rapidly and others more slowly, depending upon how volatile the relevant social dynamics are. But there is essentially nothing in social programming which is timeless.

Confounding

Treatments, entities, attributes, and time can conspire in a variety of combinations and configurations to confound observed effects, that is, to prevent unambiguous determination of causal factors. We cannot hope to treat here all of the interactions of variables that can confound causal attribution. We shall simply identify some of the more common and obvious interactions that may confound interpretation.

- Combined effects of treatments may be the only information available in assessment. Interpretation of the treatments involved in these combined effects and their separate roles in causing the observed effects may be complicated by relationships among treatments which are not simple. For example, there may be some training sequences which do not result in socially useful skills, but which are prerequisite to efficient learning of more advanced skills which are valuable. Prior analysis and modeling of likely treatment-effect relationships can help to plan assessment for maximum information about the individual and joint effects of treatments, but it is typical of social assessment that highly confounded treatment effects may be all that are feasible to obtain. Sometimes this is of little practical significance, for there may be little reason to contemplate unbundling treatments regardless of their individual or joint effects. However, when initial assessments suggest that a combination of highly confounded treatment bundles is having some of the desired effects, subsequent work can be directed toward assessment of more streamlined sets of treatments.
- Treatments may interact with attributes of entities, in particular with the personal characteristics of individuals. For example, educational methods that may be highly effective with high-ability students may be ineffective with low-ability students. Failure to identify subsets and to analyze separately for effects can result in erroneous conclusions of "no effect," or can result in a correct conclusion of some average effect but miss significant differences in effect for important subgroups.
- Time-related factors may interact with treatment factors in a variety of confounding ways. Initial biases in the selection and assignment of entities for study may not readily be measurable in terms of attributes at the time of selection and assignment. Rather, the bias may show up only as differential sensitivity to treatment. One example of selection bias confounding with time would be where one group is closer to the upper limits of its natural "maturation" than another at the start of an assessment period. A similar effect is when the groups are at different

points on their "forgetting" curves. In both cases, the groups may test identically at the beginning of the assessment and time-dependent changes will be confounded with treatment effects. This is one of the reasons for such heavy emphasis on randomization of assignment. Different treatments can have unequal interaction with historical events that occur over the period of an assessment. For example, education involving a particular instructional medium may get exceptionally favorable student response during a period of maximum coverage in the popular press. The happenstance of when final assessment data are taken yields misleading results. One treatment may have a powerful immediate impact which washes out rather quickly. Another may have less dramatic immediate effects which may hold or even build over a longer period. The judged merits of the two treatments may be very much a function of when final assessment measures are taken and what kind of curves of effects over time have been generated for extrapolation to the future.

Internal Validity. All sorts of confounding can have a detrimental effect on internal validity. Probably the least serious are multiple-treatment effects, so long as the evaluator recognizes that he is observing only net effects and does not over-interpret his precision of knowledge about causal factors. Failure to recognize the differential effects of treatments on individuals with different personal characteristics can result in quite erroneous conclusions concerning the total impact of treatments. Time-related confounding can be so serious as to lead one to infer that treatment effects are the opposite of what they actually are.

External Validity. Treatment confounding limits the extent to which one can validly generalize about individual treatments, but no great damage to valid inference is done unless one is confused about the different clusters of treatments to which it is appropriate to ascribe net effects. The failure to identify differential effects of treatments on persons with different attributes can have serious practical implications. Even if a given treatment (e.g., an instructional method) is overall somewhat superior to another, this net effect may mask the fact that the treatment is distinctly inferior to another treatment for an important segment of the population (e.g., students with prior educational disadvantagement). If one generalizes too broadly, it may be to the detriment of an important segment of the target population. Time-related confounding not only may cause any generalization to reflect internally invalid inferences, it may further limit the appropriateness of generalizing to the future. For example, even though trends within the period of assessment may be kept sorted out, the assessment period may constitute an inadequate base for extrapolating trends beyond its boundaries.

Analysis

Persons who have a vested interest in the results of assessment may find many reasons why powerful data and methods of organizing data are impractical. They may show an unnecessary willingness to accept constellations of data which permit interpretations that would be clearly invalid with more rigorous data sets. We are not talking here about chicanery, only about less motivation for rigorous data gathering and handling than is practicable under a given circumstance. Persons with a strong belief in the worth of a project (either favorable or unfavorable) are inclined to be selective in perceiving the importance of results, depending upon whether or not they are congruent with prior beliefs.

These two factors tend to influence the selection and bias the interpretation of data. It will almost always be impossible to find "disinterested" persons with the requisite knowledge and skills to carry out worthwhile assessment, particularly where cooperation of operational personnel is essential. Effective assessment demands that interested and involved persons are rewarded for rigorous assessment just as they are for impressive operational effects.

EXPERIMENTAL DESIGNS[9]

It may be helpful to make five general comments concerning experimental design before turning to the specifics of individual design types:

- There is no such thing as a design which assures valid inference. Some designs eliminate more sources of possible misinterpretation than others, but none can eliminate all possible alternatives to the interpretation accepted. In particular, generalization from a set of specifics is fraught with dangers which careful organization of available data cannot fully eliminate.
- No simplistic, or even extended, treatment of data-organizing methods can assure the most valid assessment. The totality of one's knowledge of scientific method and logical inference should be brought to bear.
- At best, any generalized description of data-organizing methods can provide an imperfect set of guidelines to optimization of a particular assessment effort. One should always be on the lookout for peculiarities of the particular project and for collateral evidence that make untenable some of the alternative interpretations which might be theoretically possible.
- The methods presented here are illustrated by single-variable designs. Any significant assessment will necessarily involve the consideration of a complex of variables. One should consult up-to-date references on multivariate procedures and analysis of variance if empirical data to partial out the effects of individual variables in complex operating contexts are to be used.
- The designs presented here are merely representative of a much larger population of possible designs. It is hoped that they will help to suggest the spread of factors influencing the validity of inferences and the varieties of methods available to cope with the validity problem. It is not

---

[9] The presentation in this section draws heavily upon the work of Campbell and Stanley (1963), but is much briefer and simplified. In particular, we have presented only three of many possible quasi-experimental designs. A review of the Campbell and Stanley chapter is strongly recommended to anyone contemplating assessment of SWE or similar projects. We are also indebted to Dr. C. W. Crannell, who, in a private communication, suggested many of the examples presented in this section.

expected that this partial set of briefly described designs will serve in lieu of careful tailoring of each specific assessment.

Table 13 presents a code for graphically describing experimental designs. Table 14 identifies and summarizes graphically the three pre-experimental, three quasi-experimental, and three experimental designs described in this section.

Design 1. The One-Shot Case Study

Graphic Summary: X O

Definition: A design in which a single group is studied only once after the advent of conditions or events presumed to produce change.

Example: A hundred persons take a series of courses designed to prepare them to be social workers (X). Supervisors rate (O) these persons as to their effectiveness after some months on the job.

Internal Validity: There is essentially no protection against invalid inferences. To ascribe all that one observes to a particular set of conditions or events will almost certainly be wrong, since it is unlikely that one will be able to so circumscribe observations as to eliminate all other causal factors. Such circumscription would be extremely difficult in well-understood areas of the physical sciences, and virtually impossible in complex social programs. Even in the "one-shot" testing of a nuclear weapon, elaborate measurements are taken prior to and during its explosion. Also, such tests are usually a part of a related series of tests.

One may apply a series of observations to a given project or program context to define what exists and even to compare that status with some desired status. In the above example, one may compare obtained job performance ratings with what he would wish his graduates to receive. But, if one is using only a One-Shot Case Study, it would probably be quite erroneous to infer that the current status is exclusively the result of identified activities. There is essentially no basis for estimating what ratings students would have received if they had taken none of the courses of interest.

An adapted version of the case study approach may be operationally useful in a very proximal sense. If prior commitments have been made to milestones such as the recruitment of personnel, completion of materials development, etc., determination of whether or not these milestones have been achieved can be made without extensive control observations. But without special control observations or collateral information one cannot infer:

- The extent of progress already made prior to the time such milestones were originally set.
- The extent to which achieved milestones are the result of resources and activities not specified a priori.

Project personnel are likely to have access to collateral information concerning prior progress and unprogrammed resource utilization, but accurate determination may require relatively complex organizations of data and a number of tenuous assumptions.

Table 13
A Code for Graphic Representation of Experimental Designs
(following Campbell and Stanley [1963])

Code	Code Usage
X	Represents the exposure of a group to an event, set of events, or conditions, the effects of which are to be assessed.
O	Refers to some process of observation or measurement.
X's and O's in a given row	Exposure and observation are applied to the same specific person.
Left to right or horizontal dimension	Indicates temporal order of X's and O's.
Top to bottom or vertical dimension	Indicates simultaneity of X's and O's.
R	Indicates random assignment to separate treatment groups.*
Parallel rows *not* separated by broken line	Represent comparison groups equated by randomization
Parallel rows separated by broken line	Represent comparison groups not equated by random assignment.

*This randomization is conceived to be a process occurring at a specific time and is the only general procedure which assures the achievement of pre-treatment equality of groups, within known statistical limits. Because of its powerful effect on inferential validity, great stress is placed upon it in the discussion throughout this chapter.

Meaningful project or program assessment will almost always require external frames of reference for comparison which are notably lacking from the case study approach. One may use "reasonable expectations," "general knowledge," or "standard reference groups." All of these bases of comparison are subject to so many extraneous sources of effect that the opportunities for invalid inference are manifold. There may be some "obvious" results from project activities such as materials development which require no frame of reference other than these general ones. But to assess effects on students and graduates with the case study approach is so likely to result in invalid inferences as to be almost unthinkable.

External Validity: The constraints on the internal validity of the One-Shot Case Study are such that it would usually verge on being irresponsible to generalize results to a broader target population. There are, however, two limited ways in which generalization may be warranted:

Table 14
Graphic Summary of Design Types

Graphic	Design	Design Class
X O	One-Shot Case Study	Pre-Experimental
O_1 X O_2	One-Group Pre-Test/Post-Test Design	
X O_1 - - - - - - - O_2	Static Group Comparison	
$O_1 O_2 O_3 O_4$ X $O_5 O_6 O_7 O_8$	Time Series	Quasi-Experimental
$X_1 O X_0$ $O X_1$ $O X_0$ O, etc.	Equivalent Time-Samples Design	
O_1 X O_2 - - - - - - - O_3 O_4	Nonequivalent Control Group Design	
R O_1 X O_2 R O_3 O_4	Pre-Test/Post-Test Control Group Design	Experimental
R X O_1 R O_2	Post-Test Only Control Group Design	
R O_1 X O_2 R O_3 O_4 R X O_5 R O_6	Soloman Four-Group Design	

- A One-Shot Case Study may be reasonably predictive of its own continuation. That is, to the extent conditions remain constant, one might expect future case study results to be distributed approximately the same as in the past. In the example given above, even though one may have no notion what courses (if any) influence obtained job performance ratings, it is not unreasonable to expect future graduates to receive about the same distribution of ratings unless student input, courses, supervisors, job market, or job demands change in some systematic way.
- A subset of One-Shot Case Studies may be predictive of some larger set of such studies. In the example given above, if a number of institutions giving courses designed to prepare students to be social workers are randomly selected to obtain supervisors' ratings, the results should be generalizable to the population of institutions from which the sample of institutions was randomly drawn.

The utility of these types of generalization is likely to be quite limited since they are norm rather than cause-effect oriented.

Design 2. One-Group Pre-Test/Post-Test Design

Graphic Summary: $O_1 \times O_2$

Definition: A design in which a single group is tested prior to and after the advent of conditions or events presumed to produce change.

Example: A test of social welfare knowledge (O_1) is administered to students at the beginning of a social work course (X) and again at the end of the course (O_2).

Internal Validity: This design is generally used in an effort to determine the nature and magnitude of differences between O_1 and O_2, and to ascribe responsibility for the differences to the activities, conditions, or events represented by X. The design does not, in itself, control for sources other than X causing differences between pre-test and post-test scores.

In the example above, the design would not rule out the possibility that other events in the lives of students (e.g., other course work) during the time they are taking the course in question may have caused the differences. If the period between observations is extended, increasing maturity may have an influence on tested performance. There is no control for the influence initial testing might have on post-test performance. If students are selected on the basis of pre-test scores, there is no control for statistical regression effects.

This design may have utility for the assessment of developmental activities. For example, a preliminary review (O_1) may establish the status of currently available instructional materials. Developmental activities (X) may then be carried out. A subsequent review (O_2) of the materials may then be used in assessing the results of development. There are, of course, many ways in which activities other than those specified may have an influence on the materials. The observable linkages between activities and results may be sufficiently direct that these possible hidden factors may not be of significant concern.

External Validity: There is no control in this design for possible interactions between pre-testing and treatments. It is possible that students learned from a course at least in part due to sensitization on a pre-test. The nature of materials developed may be much influenced by the initial review. Strictly speaking, generalization must be limited to situations where pre-testing of the sort used in assessment occurs.

Design 3. Static-Group Comparison

Graphic Summary: $\begin{array}{cc} X & O_1 \\ \hline & O_2 \end{array}$

Definition: Comparison of similar data for two groups, presumably comparable, but for which rigorous random assignment of members has not been established.

Example: The example for the One-Shot Case Study might be expanded to give a Static-Group Comparison. A hundred persons take a series of courses designed to prepare them to be social workers (X). Supervisors rate them (O_1) as to their effectiveness after some months on the job. Supervisors also rate 100 persons (O_2) who have had the same length of experience on the job but have not taken the series of courses.

Internal Validity: The major deficiency with this design, and it is a serious one, is that there is no formal means of insuring that the two groups would have been equivalent to begin with. Differences between O_1 and O_2 could result from long-standing differences in persons selected for the two different groups, from X, or from some combination of the two. In the example cited, there is an additional source of likely bias. If supervisors are aware of the educational backgrounds of the two groups, differences may result from this knowledge.

The Static-Group Comparison technique can be translated into correlational terms. If each member of the treatment group is assigned a predictor score of one and each member of the comparison group is assigned a predictor score of zero, it is easy to compute a biserial or product-moment biserial coefficient of correlation between treatment and observed performance. The translation to correlational terms can be easily extended to the situation where the exposure to treatment may be described as a multi-step or continuous function. That is, some graduated scale of treatment can be correlated with performance measures. But correlational studies of this sort suffer the same basic problem as the elemental Static-Group Comparison. There is nothing inherent to the correlational process which demands that either of two correlated variables be the cause of the other.

External Validity: Valid generalization from a Static-Group Comparison demands that both the treatment and comparison group be drawn from the population to which generalization is desired. If both groups are drawn from the same population, but not the one to which generalization is desired, the study may have internal validity but the observed differences cannot validly be generalized. If only one of the groups is drawn from the target population, results for that group can be generalized for normative purposes, but generalization of its comparison to the other group would be gratuitous.

Design 4. Time Series

Graphic Summary: $O_1 O_2 O_3 O_4$ X $O_5 O_6 O_7 O_8$

Definition: This design is an extension of Design 2. It is a One-Group Pre-Test/Post-Test such that a series of comparable observations are made both before and following some treatment or programmed event.

Example: Samples of student interaction ($O_1 O_2 O_3 O_4$) during classroom discussions are obtained over the initial weeks of a course in social work methods. An experimental unit on human relations (X) is presented, following which an additional series of observations ($O_5 O_6 O_7 O_8$) are made of student interaction during classroom discussion over the remainder of the course.

Internal Validity: Like the One-Group Pre-Test/Post-Test Design, the Time Series measurement does not control for sources other than X causing differences between pre-test and post-test scores. The Time Series Design is, however, stronger on at least three counts:

- If testing has an influence on performance, it should show up as a cumulative effect in the pre-treatment series and not be a unique effect which shows up only between the last pre-treatment and first post-treatment observations.

- If the period over which pre-treatment and post-treatment measures are taken is comparable or greater than the period of treatment, maturation effects should be revealed separately from treatment effects.
- Even if there is some initial selection on the basis of pre-treatment scores, regression effects should be revealed within the series of pre-treatment observations.

External Validity: The Time Series Design intensifies an external validity problem of the One-Group Pre-Test/Post-Test Design – the problem of possible interactions between testing and treatment. Because of the extended series of observations, any sensitivity to treatment built up prior to treatment or reinforcement of effects which occurs after treatment can be cumulative. One must have collateral information to suggest that observations are not reactive in these ways or restrict generalizations to situations in which a series of observations similar to those involved in the assessment occur.

To quote Campbell and Stanley (1963, p. 5):

> "It also seems imperative that the X be specified before examining the outcome of the time series. The post hoc examination of a time series to infer that X preceded the most dramatic shift must be ruled out on the grounds that the opportunistic capitalization on chance which it allows makes any approach to testing the significance of effects difficult if not impossible."

Design 5. Equivalent Time-Samples Design

Graphic Summary: $X_1 O \; X_0 O \; X_1 O \; X_0 O$, etc. (A random rather than regular alternation of X_1 versus X_0 should be used in practice.)

Definition: This design is a one-group experiment which employs two equivalent samples of occasions, one in which the experimental variable is present and another in which it is absent.

Example: A social work course is divided into natural units and a unit test (O) is prepared for each. A study aid (X_1) is prepared for half of the units, which are selected at random, but not for the other half (X_0). (To avoid contamination, unit tests and study aids are prepared independently by different persons from a single outline of course objectives.)

Internal Validity: The prospects for internal validity of a Time-Samples Design are excellent. The critical requirements are that the time samples be strictly randomly selected and the observations strictly independent of whether they are associated with a treatment or non-treatment situation.

External Validity: One may wish to generalize to a population of situations and/or to a population of individuals. Valid generalization of both is dependent upon random choice from a defined population. In addition, generalization to future situations is limited by the possibility of multiple-treatment interference. That is, one can only generalize to situations where treatments are interspersed in a pattern approximating those used in the assessment. If a given treatment (X_1) has effects which carry over into another period (X_0), the total effect of X_1 will be underestimated by this design. If the fact of interspersing treatments lends salience to the experimental element, generalization to a continuous condition will overestimate the effects.

Design 6. The Nonequivalent Control Group Design

Graphic Summary:

$$\begin{array}{ccc} O_1 & X & O_2 \\ \hdashline O_3 & & O_4 \end{array}$$

Definition: A comparison of a pre- and post-tested experimental group with a pre- and post-tested control group in which assignment of entities to groups is not strictly random.

Example: As in Design 2, the One-Group Pre-Test/Post-Test, a test of social welfare knowledge (O_1) is administered to students at the beginning of a social work course (X) and again at the end of the course (O_2). However, in this instance, students who elect an alternate course are tested (O_3) when experimental students are pre-tested and again (O_4) when experimental students are post-tested.

Internal Validity: This is one of the most widely used designs in educational and social research because it permits use of intact groups. Although it is substantially more prone to internal validity problems than true experimental designs such as those described below, even a nonequivalent control group helps to reduce equivocality of interpretation over what is obtained with Design 2, the One-Group Pre-Test/Post-Test. The more similar the recruitment of experimental and control groups and the more similar their distributions of pre-test scores, the more effective this control becomes. Even if experimental and control groups are highly similar, however, this design, like the true experimental designs, demands that the experiences of experimental and control groups be equivalent for the period between tests except for the prescribed treatment.

Even if similar distributions of pre-test scores are obtained for the experimental and control groups, at least three threats to internal validity remain:

- Any matching of groups by selecting on the basis of pre-test scores will leave the study open for regression effects. If, for example, members of the experimental group are deselected on the basis of extremely high pre-test scores, the average post-test scores of remaining members can be expected to improve even if the treatment has no effect.
- If maturation or motivation of the two groups is different, they may develop differently during the treatment period regardless of whether the treatment has any effect. In the example cited above, if the experimental students are more interested in social work than the control students, they (the experimental students) may learn more during the period of the course regardless of whether the course had any effect.
- The likelihood of a fair comparison is greatly enhanced if the evaluator can control the assignment of treatments to intact groups which formed without awareness of the treatments. In the cited example, it would be better to use experimental instruction in one of two sections having the

same course title and prospectus than to permit prospective students to decide whether or not they wanted the experimental training. Such decision can interact with treatment effectiveness.

External Validity: Reactivity to testing is a definite threat to external validity. Generalizations will be fully justified only to individuals similarly tested. Any of the techniques of analysis which attempt to adjust for pre-test differences between groups are subject to assumptions which frequently cannot be justified (Elashoff, 1969).

Design 7. The Pre-Test/Post-Test Control Group Design

Graphic Summary: $R\ O_1\ X\ O_2$
$R\ O_3\quad O_4$

Definition: Two groups, formed through random assignment of individuals, are tested twice. The experimental group is tested before and after some treatment. The control group is tested at the same times as the experimental group, but without any intervening treatment. This design is identical with Design 6, the Nonequivalent Control Group, except that in this design the evaluator assigns individuals randomly to groups rather than accepting intact groups.

Example: The example here can be identical with the one for Design 6, the Nonequivalent Control Group. However, in this case 200 students apply for a given course. They are randomly assigned to two sections of the course, one section using an experimental curriculum and the other using a more conventional approach.

Internal Validity: The process of randomization greatly increases the prospects for valid comparisons. The randomization process does not have to ignore the pre-test measures; it is perfectly legitimate to establish pairs of individuals who are equivalent on the basis of pre-test measures and then randomly assign members of the pair to groups. It would be violating principles of random assignment to establish "equivalent" groups through deselection or reassignment of individuals until group statistics are equal. Such efforts can be a serious source of hidden bias.

External Validity: There are two principal problems with a true Pre-Test/Post-Test Control Group Design. The first problem is lack of control for pre-test measures. One does not really know how much pre-test measures have affected both groups and cannot legitimately generalize results to groups that have not been pre-tested. The second problem is that the randomizing processes may cause individuals to react to the experimental situation as unusual. In the cited example, students from the two different sections of the course may well compare notes and wonder why the differences in sections.

Design 8. Post-Test Only Control Group Design

Graphic Summary: $R\ X\ O_1$
$R\quad O_2$

Definition: Comparison of similar post-test data for two groups which have been established by rigorous random assignment, one of which has and the other of which has not been exposed to a specified treatment.

Example: This could be identical with the example for Design 7, the Pre-Test/Post-Test Control Group, but in this case the pre-test would not be used with either group.

Internal Validity: Experimenters have seemed reluctant to use this design, presumably because of lack of positive evidence that comparison groups are actually equivalent. Yet, if the groups have been formed by truly random processes, they will tend toward strict equivalence as the number of cases increases.

External Validity: This design avoids the bias which may result from pre-testing by simply dispensing with pre-testing. Generalization to a target population demands that members of both groups be drawn at random from that population, of course.

Design 9. Soloman Four-Group Design

Graphic Summary:
$R\ O_1\ X\ O_2$
$R\ O_3\ \ \ O_4$
$R\ \ \ X\ O_5$
$R\ \ \ \ \ O_6$

Definition: Four groups are formed by strictly random assignment. Two of the groups are exposed to a specified treatment (experimental) and two are not (control). One experimental and one control group are pre-tested, but the other two groups are not. All four groups are post-tested. In this design, the Pre-Test/Post-Test Control Group and the Post-Test Only Control Group designs are combined into a single design, permitting independent comparisons within and across the component designs.

Example: Two hundred students apply for a social work course. They are randomly assigned to two sections, one traditional and the other involving experimental instructional units. Half of the students in each section are selected at random and pre-tested on social work knowledge. After the course all students are tested on social work knowledge.

Internal Validity: This design permits independent unbiased estimates of the effects of the observations and treatment effects; hence, it has the least likelihood of invalid inferences of all the designs described above.

External Validity: Even with this relatively elaborate design, as with all those described above, there is no way of determining the effects of being involved in an assessment. That is, strictly speaking, results with individuals involved in an assessment can be generalized with complete justification only to other situations in which identical assessment activities are involved. If generalization is desired, it becomes imperative that assessment be as unobtrusive as possible to participants.

CONVERGENT DATA

Throughout this handbook, and especially in this chapter, we have sought to emphasize the limitations on assessment and the uncertainty that will remain and should be recognized after one's best efforts to array assessment data. This recognition is essential to effective assessment. But, of course, an emphasis only on what one does not know can be destructive and wasteful. The desired state is to know what one does and does not know with some degree of confidence.

Three factors converge to make assessment potentially a great deal more productive than it typically has been in the past:

- Assessment usually takes place in an information-rich operational environment. The more varieties of data that can be brought to bear on a given issue, the greater the confidence that can be placed in one's conclusions.
- Multiple kinds and sources of data are especially useful in rejecting cause and effect possibilities – Sir Francis Bacon's method of "exclusion" (Platt, 1964). The exclusion of reasonable but unsupportable alternatives can be a major aid to operational decision making.
- Though one will almost never be able to meet all assessment criteria to the level desired, no compromise with analytic thought is required. One may have to make methodological compromises with resulting equivocations of data. But it is precisely in this situation of multiple kinds, sources, and qualities of data that precision of analytic thought can contribute much, even where opportunities for elegant experimentation are limited.

PRIORITIES

Operations and assessment are permeated with the need to determine precedence in allocating time, attention, money, personnel, information, and other resources. But no effort is made here to provide an exhaustive treatment of considerations involved in priority setting. Rather, the discussion here is limited to three elementary points:

- Priority should be given to assessment with the greatest potential for affecting operational decision making.
- Assessment should help to keep a program true to its own presumed priorities.
- Assessment can help to align an operational program with broad policy.

ASSESSMENT PRIORITIES

It is intuitively obvious that assessment should emphasize operational aspects for which results can have the most important impact on decision making. Two factors, however, complicate this straightforward intent:

- *Uncertainty.* One cannot predict with certainty either the results of the assessment or the actions that can or will be taken on the basis of any given results.
- *Numbers of interacting variables.* It is characteristic of programs having social significance that they involve a large number of simultaneously interacting variables – variables which are often related in markedly non-linear fashion.

These complications can make deciding on assessment priorities a difficult process. Some of the tools of operations research, systems engineering (especially those concerned with cost-effectiveness analysis), and quantitative management may help to cope with this complexity. Although such models are beyond the scope of this handbook, the following partial list may help to suggest the variety of tools available from standard sources:[10]

- *Mathematical Techniques*
  Birth and death processes
  Calculus of finite differences
  Calculus of variations
  Gradient theory
  Numerical approximation methods

---

[10] This list is based on techniques suggested in ARINC Research Corporation, *Guidebook for system analysis/cost effectiveness.* Annapolis: Author, 1969. (AD 688154)

Symbolic logic
Theory of linear integrals
Theory of maximum and minimum

- *Statistical Techniques*

Bayesian analysis
Decision theory
Experimental design
Information theory
Method of steepest ascent
Stochastic processes

- *Programming Techniques*

Dynamic programming
Linear programming
Nonlinear programming

- *Other Operations Research Techniques*

Gaming theory
Monte Carlo techniques
Queuing theory
Renewal theory
Search theory
Signal flow graphs
Simulation
Value theory

Regardless of the complexity or simplicity of the problem, or of the elegance attempted in its solution, one should attempt to balance the following factors in assigning priorities to different aspects of assessment:

- The importance of the operational aspects to be assessed for achievement of operational objectives.
- The importance of the objectives affected by aspects to be assessed.
- The probable discrepancy between desired states of the program and actual states. In this regard, preliminary evidence can be of great benefit in guiding subsequent assessment.
- The confidence that can be placed in anticipated assessment results. (In the extreme, if one can place no confidence in the results, there is no point in doing the assessment regardless of how significant other factors may be.)
- The propensities of responsible decision makers to take action on the basis of various kinds of information and the degrees of freedom available in the various areas of potential action.

INTRA-PROGRAM PRIORITIES

Not only must assessment be driven by a sense of its own priorities; it can also yield useful information about consistency of a program with its own manifest priorities. This can be accomplished at five levels at least:

- Criterion models explicit for or implicit to the program can be compared with analagous models for other purposes to determine whether ways may have been found to give greater or more direct emphasis to most valued elements.
- Derived objectives can be compared with the overall criterion model to assure that priorities have not been changed unnecessarily in the process of modifying desired states by considerations of operational feasibility.
- More specific objectives can be compared against more general ones from which they are derived to assure that priorities have not been shifted in the process.
- Investments of resources can be compared against objectives to assure that intended priorities have been matched by the allocation of the resources available.
- Performance results and effects can be compared with investments and results to determine what adjustments are required in priorities to bring operations back into line with overall intent. (For example, repeated failure to demonstrate achievement of a priority objective may result in either abandonment of the objective or a realignment of resources for its achievement.)

In using assessment to help an operational program to be consistent with its own priorities, it is well to realize that multiple considerations enter into a sense of priorities. Figure 21 suggests some of the variety of factors entering into operational priority setting.

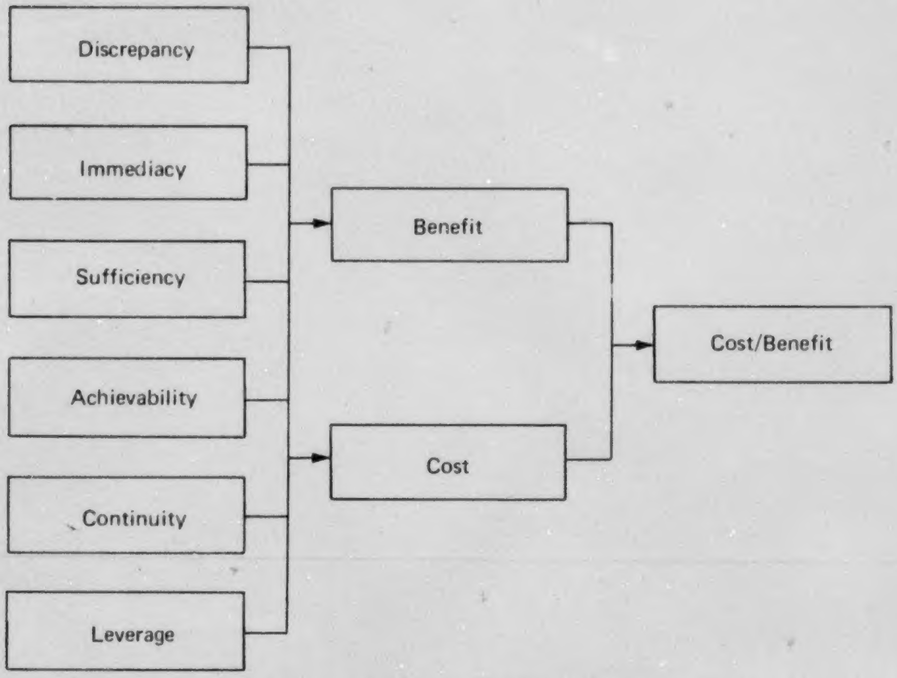

Figure 21. Factors to Consider in Setting Operational Priorities

At one level, the following factors may be considered by the priority setter:

- *Discrepancy*—one may give priority where the discrepancy is greatest between what is believed should be and what is currently the case.
- *Immediacy*—one may give priority where the payoff may be most rapid rather than potentially the greatest over the long run.
- *Sufficiency*—one may give priority to those actions which are judged sufficient to correct or at least have a significant impact upon discrepancies in preference to actions which are only necessary first steps.
- *Achievability*—one may give priority to actions having high probability of success even if this success may be limited over riskier actions which might have greater potential if successful.
- *Continuity*—one may give priority to actions which are a natural extension of past activities over new and unfamiliar departures of equal promise.
- *Leverage*—one may give priority to actions most likely to enlist additional support over equally effective actions which are less likely to have broad appeal.

All of the above considerations have benefit aspects and cost aspects, and these two aspects must somehow be brought into resolution in order to make final choices among alternatives.

EXTRA-PROGRAM RELATIONSHIPS

Many programs of social significance are interlocked within a much broader political-social-economic policy. Comparison of a given program with such broad policy may help to identify:

- Areas of articulation and disarticulation with, for example, "the intent of Congress." Such identification can play an important role in suggesting shifts in program priorities.
- Social trends and forecasts in the arena of interest (e.g., the economy, employment, legislated welfare services). These may be compared with existing operational priorities to see if they are still appropriate in the light of changing conditions.
- Geographic considerations. These may modify overall or general priorities and shift them as a function of location. Assessment of requirements in different locations may have a profound effect on priorities for different objectives.

DEFINITIONS

There is considerable variability in the meaning of key words relating to the field of "social work," including even a variety of delineations of the field itself. We have, therefore, tried to make our usage consistent with the definitions given below.

Social Welfare, as defined in the Health, Education, and Welfare Departmental Task Force Report, *Closing the Gap in Social Work Manpower*, is "The organized system of functions and services under public and private auspices that directly support and enhance individual and social well-being, and that promote conditions essential to the harmonious interactions of persons and their social environment, as well as those functions and services directed toward alleviating or contributing to the solution of social problems, with particular emphasis on the strengthening of the family as the primary social institution in a democracy today" (1965).

Social Service is that which is provided by the social welfare system.

Social Work is professional level employment in social welfare, usually requiring at least a baccalaureate.

Social Worker is a person engaged in social work.

Social Welfare Work includes any job having the provision of social services as its main purpose, whether such employment is at the professional or para-professional level.

Social Welfare Worker includes any person engaged in social welfare work.

Social Work Education is any educational process or program aimed at the professional preparation of social workers.

Social Welfare Education includes, in addition to social work education, the training of para-professional social welfare workers and courses to inform the general student about social welfare.

REFERENCES

Altman, J. W. A behavioral view of vocational-technical education. Paper presented at the Commonwealth of Massachusetts Advisory Council on Education Symposium on Vocational-Technical Education: Prospectus for Change, Boston, 28-29 November 1967.

Altman, J. W., Leavitt, A. W., Shannon, S. C., & Hovey, S. T. *Handbook of methods for information systems analysts and designers.* Griffiss Air Force Base, New York: Rome Air Development Center, 1971. (RADC-TR-71-30)

ARINC Research Corporation. *Guidebook for system analysis/cost effectiveness.* Annapolis: Author, 1969. (AD 688154)

Bracht, G. H., & Glass, G. V. The external validity of experiments. *American Educational Resourch Journal,* 1968, *5*(4), 437-474.

Campbell, D. T. Factors relevant to the validity of experiments in social settings. *Psychological Bulletin,* 1957, *54*(4), 297-312.

Campbell, D. T., & Stanley, J. C. Experimental and quasi-experimental designs for research on teaching. In N. L. Gage (Ed.), *Handbook of research on teaching.* Chicago: Rand McNally, 1963.

Elashoff, J. D. Analysis of covariance: A delicate instrument. *American Educational Research Journal,* 1969 *6*(3), 383-401.

Guba, E. G. The failure of educational evaluation. *Educational Technology,* 1969, *9*(5), 29-38.

Horst, P. *Psychological measurement and prediction.* Belmont, California: Wadsworth Publishing Co., 1966.

Kish, L. *Survey sampling.* New York: Wiley, 1965.

Leuba, H. R. Quantification in man-machine systems. *Human Factors,* 1964, *6*(6), 555-583.

Moynihan, D. P. *Maximum feasible misunderstanding.* New York: The Free Press, 1969.

Platt, J. R. Strong inference. *Science,* 1964, *146*(3642), 347-353.

Provus, M. Evaluation or research, research or evaluation. *Educational Technology,* 1970, *10*(8), 50-54.

Suchman, E. A. *Evaluative research: Principles and practice in public service and social action programs.* Hartford: Connecticut Printers, 1967.

United States Department of Health, Education, and Welfare. *Closing the gap ... in social work manpower, Report of the Departmental Task Force on Social Work Education and Manpower.* Washington, D.C.: United States Government Printing Office, 1965.

Webb, E. J., Campbell, D. T., Schwartz, R. D., & Sechrest, L. *Unobtrusive measures: Nonreactive research in the social sciences.* Chicago: Rand McNally, 1966.

INDEX

Acceptance, as a parameter of operational criteria, 67
Achievability, as a factor in setting priorities, 124
Achievement, as a criterion judgment, 65
Activities, as a parameter of operational criteria, 66
Activity sequences, 33
Administrative error, avoiding objectives, 38
Altman, J. W., 25, 30
Analog, symbolic, 40
Analysis, as a factor in valid inference, 109
ARINC Research Corporation, 121
Aspects
  as parameters of operational criteria, 67
  relationship to proximity, 67
Assessed population, 103
Assessment
  as distinguished from evaluation, 9
  context for, 10
  definition of, 9
  documents used in, 7
  methods for making useful, 15
  overview of, 7
  parameters of, 12
  role of objectives in, 23
  strengthening, objectives for, 38
Assessment criteria
  as parameters of assessment, 12
  types of, 100
Assessment data, 58
Assessment framework, 15
  boundaries of, 15
  emphases in, 16
  purpose of, 15
Assessment priorities, 122
Attributes, as factors in valid inference, 105

Bacon, F., 120
Bias
  in forming comparison groups, 104
  sampling, 104
Bracht, G. H., 102

Categorization of entities, 104
Combining institutional resources, objectives pertaining to, 38
Comparison groups, 104
Campbell, D. T., 102, 110, 116
Consensus, sequential, 20
Confounding, as a factor in valid inference, 108
Constraints, 30
Context, as a factor in developing objectives, 26
Continuity, as a factor in setting priorities, 124
Convergent data, 120
Costs
  as a parameter of operational criteria, 67
  objectives for minimizing, 38
Crannell, C. W., 110
Criteria
  and milestones, 64
  and objectives, 63
  definition of, 61
  explicit and prior, 20
  parallel, 68
  relationship to criterion models, 62
  sources of confusion concerning, 28
Criterion behaviors, 28
Criterion models, 22
  discrepancies with reality, 9
  relationship with criteria, 62
  translation of, 23
  validity of, 22
Criterion proximity
  and developmental stages, 64
  and types of judgments, 65, 66
  definition, 63
Criterion variable, 61
Curriculum data, 56
Cyclic factors, effect on valid inference, 107

Data
  as parameters of assessment, 14
  convergence, 120
  uses for different criteria, 62
Data classes
  relationships among, 39
  relevant to SWE Grant Program, 47
  structure of, for SWE Grant Program, 45
Data file, 40
Data gathering models, 43
Demonstration, as a criterion judgment, 65
Developmental stages, and criterion proximity, 64
Differentiation of approaches, as a technique in making assessment useful, 18
Dimensions
  defining operational criteria, 63
  to social work roles, 81-82
Disadvantaged graduates, entry into social work as a criterion, 92
Disadvantaged students
  acquisition of skill as a criterion, 92
  flow as a criterion, 91
  hierarchy of criteria for, 89
  modification of services for, as a criterion, 91
  objectives relating to, 37
  performance in social work as a criterion, 92
  planning openings for, as a criterion, 91
  preparation of staff for, as a criterion, 91
  recognition of needs for, as a criterion, 90
  subsequent educational experiences as a criterion, 92
Disadvantagement and minority status, 90
Discrepancy, as a factor in setting priorities, 124
Dropouts, effect of, on valid inference, 107
Duplication of education, avoidance of, 69, 72

Education institutions (see Social work education institutions)
Elashoff, J. D., 118
Entities, as factors in valid inference, 103
Entry into social work as a criterion, 73
Equivalent time-samples design, 116
Error, objectives for avoiding administrative, 38
Evaluation, as distinguished from assessment, 9
Evaluative information, mechanisms for handling, 21
Experimental design, role in assessment, 18
Experimental designs
  equivalent time-samples, 116
  nonequivalent control group, 117
  one-shot case study, 111
  one-group pre-test/post-test, 114
  post-test only control group, 118
  pre-test, post-test control group, 118
  Soloman four-group comparison, 119
  static group comparison, 114
  time series, 115
External validity, definition of, 100

Faculty enhancement
  criteria, 92
  objectives, 37
Functions, 32
Field data, 57
Field instruction
  achieving intention for, as a criterion, 75
  adequacy of planning for, as a criterion, 75
  confusion in classifying objectives for, 68
  definition of benefits from, as a criterion, 74
  definition of varieties of experiences in, as a criterion, 75
  effect on entry into social work, as a criterion, 76
  effect on later education as a criterion, 76
  effect on quality of services as a criterion, 76
  hierarchy of criteria for, 71
  immediate effects as criteria for, 75
  long-term effects as criteria for, 75
  objectives for, 34
  relationship to other education as criterion for, 74
Fiscal data, 55
Formative assessment, 64
Funding
  criteria for evolving, 96
  hierarchy of criteria for evolving, 96
  objectives for evolving, 38

Generalization
  from assessment, 104
  from research, 104
  to the population, 103
Glass, G. V., 102
Graduates, output as a criterion, 72
Grammar and measurement, 40
Groups, creation of, for experimental comparison, 104
Guba, E. G., 15

Hawthorne effect, 105
Hierarchies of sample SWE Program criteria, 67
Historic factors in valid inference, 107
Horst, P., 105
Hovey, S. T., 30

Ideology in developing objectives, 28
Importance, as a criterion judgment, 65
Innovation
  criteria, 77
  objectives, 37
Institutions (see Social work education institutions)
Institutional data, 47
Institutional resources, objectives for combining, 38
Instruction
  criteria for innovative methods, 86
  criteria for integrating levels, 82
  criteria for integrating modes, 85
  objectives for innovations in, 37
Intent, as a level of criterion proximity, 63
Interaction of factors in valid inference, 108
Interdisciplinary educational offerings
  effects of, as criteria, 79
  effort to incorporate, as a criterion, 77
  hierarchy of criteria for, 78
  objectives for, 34
  relevance and importance of, as criteria, 79
Internal validity, definition of, 100
Interviews, 44
Intra-program priorities, 122
Immediacy, as a factor in setting priorities, 124

Judgment
  and criterion proximity, 65
  role in assessment, 16

Kish, L., 103

Leavitt, A. W., 30
Leuba, H. R., 40
Level, as a factor differentiating approaches to assessment, 18
Levels of instruction
  criteria for integrating, 83
  objectives for integrating, 36
Leverage, as a factor in setting priorities, 124
Long-range effect, as a level of criterion proximity, 63

Management, 10
Manifestations
  as a parameter of operational criteria, 66
  relationship to proximity, 67
Mathematical tools to analyze priorities, 121
Maturation factors and valid inference, 107
Mean, regression to, 104
Measures
  classes of, 42
  definition of, 40
  uses for different criteria, 62
Measurement, role in assessment, 17
Measurement instruments, effect on validity, 106
Methods, as they relate to objectives, 32
Methods of instruction
  criteria for innovating, 84
  hierarchy of criteria for, 86
  objectives for, 37
Milestones
  and criteria, 33
  and criterion proximity, 64
  measurement of, 111
Minority graduates, entry into social work as a criterion, 92
Minority group data, 57
Minority status and disadvantagement, 90
Minority students
  acquisition of skill as a criterion, 92
  flow as a criterion, 91
  hierarchy of criteria for, 89
  modification of services for, as a criterion, 91
  objectives for, 37
  openings for, as a criterion, 91
  performance in social work as a criterion, 92
  planning for, as a criterion, 91
  preparation of staff for, as a criterion, 91
  recognition of needs as a criterion, 90
  subsequent educational experience as a criterion, 92
Modes of instruction
  criteria for integrating, 85
  hierarchy of criteria for, 85
  objectives for, 36
Mortality factors in valid inference, 107
Moynihan, D. P., 15
Multiple-treatment effects, 109

Nonequivalent control group design, 117

Objectives
  and criteria, 63

  as differentiators of assessment approaches, 19
  as parameters of assessment, 12
  characteristics to be useful, 25
  concept of, 23
  derivation of, 25
  organization and selection factors in developing, 29
  relationship of functions to, 32
  relationship of methods to, 32
  relationship of resources and constraints to, 30
  role in assessment, 23
  role in assessment emphases, 16
  search factors in developing, 26
  structure for SWE Program, 34
  translating into action, 30
  varieties of, 24
Observation as a data gathering model, 44
One-group pre-test/post-test design, 114
One-shot case study, 111
Operational criteria
  and milestones, 64
  as parameters of assessment, 14
  overview of, 61
  parameters of, 63
  samples for SWE Program, 67
Operational level, 11
Operational skills, 21
Opportunities for addition of social work education, 68
Organization in developing objectives, 29

Parallel criteria, 68
Parameters
  of assessment, 12
  of operational criteria, 63
Percept, as a level of criterion proximity, 63
Performance, as a parameter of operational criteria, 67
Phenomena, as differentiators of assessment, 19
Plans and schedule data, 50
Platt, J. R., 120
Population, generalizing to, 103
Post-test only control group design, 118
Pre-test/post-test control group design, 118
Priorities
  as parameters of assessment, 14
  factors complicating, 121
  factors in assigning to assessment, 122
  in assessment, 121
  influence of extra-program relationships, 124
  intra-program, 122
  mathematical tools available to analyze, 121
Provus, M., 9
Proximity of criteria
  and aspects, 67
  and judgments, 65
  and manifestations, 67
  as a parameter, 63
  in developing objectives, 28

Qualitative measures, 42
Quantitative measures, 42
Questionnaires, 44

Random assignment, 105
Random sampling, 103
Reactivity to testing, 118
Reality, discrepancies from criterion models, 9
Regression to the mean, 104
Relevance, as a criterion judgment, 65
Representativeness of samples, 103
Requirements data, 47
Requirements for education as criteria, 69
Requirements in developing objectives, 29
Research, 10
Resource, as a level of criterion proximity, 63
Resources
  as a parameter of operational criteria, 66
  criteria for building on those available, 93, 97
  criteria for combining across institutions, 93, 98, 99
  hierarchy of criteria for building on, 97
  hierarchy of criteria for combining, 98
  objectives relating to, 38
  role in defining objectives, 30
Retrospection as a data-gathering model, 43
Review as a data-gathering model, 43

Sampling, 40, 103-104
Schedule and plans data, 50
Schwartz, R. D., 102
Search in developing objectives, 26
Sechrest, L., 102
Sequential consensus, 20
Services for students (see Student services)
Shannon, S. C., 30
Short-range effect, as a level of criterion proximity, 63
Simulation as a data-gathering model, 45
Social environment, 12

Social service, definition of, 125
Social welfare, definition of, 125
Social welfare education, definition of, 125
Social welfare programs and problems
  criteria for adding to education, 79
  hierarchy of criteria for adding to education, 80
  objectives for adding to education, 36
Social welfare worker, definitions of, 125
Social work, definition of, 125
Social work education
  criteria for adding opportunities, 68
  definition, 125
  hierarchy of criteria for adding opportunities, 70
  objectives for adding opportunities, 34
Social work education institutions, criteria for strengthening, 96
Social work roles
  criteria for adding to education, 79
  hierarchy of criteria for adding to education, 81
  objectives for adding to education, 36
Social worker, 125
Soloman four-group comparison design, 119
Staff (see Faculty)
Staff data, 50
Stages of development, 11, 19
Standard, definition of, 61
Stanley, J. C., 102, 110, 116
Static group comparison design, 114
Students, disadvantaged (see Disadvantaged students)
Students, minority (see Minority students)
Students, output as a criterion, 72
Student data, 50, 53
Student service data, 57
Student services
  criteria for, 87
  effectiveness of planning for, as a criterion, 90
  effects of, as criteria, 90
  hierarchy of criteria for, 88
  objectives for, 37
  recognition of need to strengthen as a criterion, 87, 90
  recognition of relationships among, as a criterion, 90
  under SWE Program versus otherwise, 87
  use of, as a criterion, 90
Success in social work, as a criterion for assessment, 73
Suchman, E. A., 9, 102
Sufficiency, as a factor in setting priorities, 124
Summative assessment, 64
Symbolic analog, 40

Target population, 103
Testing as a data-gathering model, 44
Time, as a factor in valid inference, 107
Time series design, 115
Treatments, as factors in valid inference, 102
Translating
  criterion models into objectives, 23
  objectives into action, 30

Use of student services, as a criterion for assessment, 90
Uniqueness, as a criterion for assessment, 69, 72

Valid inference, threats to, 100
Validity
  internal, 100
  external, 100
  of criterion models, 22

Webb, E. J., 102, 105

Manual for Project Managers

PART I

PLANNING AND ASSESSMENT SYSTEM

OVERVIEW

This manual serves as a procedural guide to project managers using the Social Work Education Planning and Assessment (SWEPA) System. Project managers can gain an orientation to the workings of the planning and assessment system at the project and the program levels from the LIMITED DEMONSTRATION OF SYSTEM OPERATION found in Part II following the discussion of this manual.

This manual is provided as a guide to project managers in preparing and reporting the planning and assessment of projects supported through SRS grants for social work education. The planning and assessment system and this manual are intended to assist project managers in:

- Preparing more effective grant applications.
- Monitoring and improving their project operations.
- Communicating results of their project to others.
- Deriving maximum generalizable benefit from their project experiences.

This manual is constructed as a task-oriented guide to project planning and assessment. It makes operational the concepts and principles described in the *Handbook of Fundamental Assessment Concepts*, on which the system is based, and relates to the four FORMS which project managers prepare:

The SOCIAL WORK EDUCATION REQUIREMENTS (SWER) FORM. This FORM is used to describe and assess the needs for social work education (SWE) and to relate these needs to the institutions submitting project requests. It is an essential component of an application for a grant, but may also be used at later stages of the project to demonstrate revised SWE needs, including the demonstration of revisions afforded by the project. When used in this fashion, it may incorporate still relevant information provided in earlier versions of the FORM by reference to that earlier submission.

The INSTITUTIONAL INVENTORY (II) FORM. This FORM is used to describe institutions submitting a project to SRS. It is an essential component of an initial application, but may also be used at later stages of the project to demonstrate revised institutional capabilities, including those effected through the project. Subsequent versions of the FORM may incorporate still relevant information provided in earlier versions of the FORM by references to the earlier submission.

The PROJECT PLAN (PP) FORM. This FORM is used to describe the project-related intentions of institutions. It is an essential component of an initial application, but is also used to demonstrate revised plans for the project. The initial plan is intended to cover the total project period as well as to provide detailed planning information for the first grant year. Subsequent submissions of the plan, or portions thereof, are expected to demonstrate the detailed planning information for successive grant years as the annual request for continuing project support is submitted.

The PROJECT ACCOMPLISHMENT (PA) FORM. This FORM is used to describe the achievements of projects supported by SRS. It is required at the completion of each grant year, but may also be submitted on an interim basis, as appropriate.

The EDUCATIONAL FOLLOW-UP QUESTIONNAIRE (see Appendix A) is an additional FORM provided for project purposes and which could be implemented for collection of graduates' reports on educational effectiveness.

Project planning, assessment, and related activities are described within this manual according to five general areas of project personnel responsibility:

- SECTION I : IDENTIFYING AND DEFINING THE PROJECT
- SECTION II : PLANNING THE PROJECT AND ITS ASSESSMENT
- SECTION III: REPORTING PROJECT ACCOMPLISHMENTS
- SECTION IV: REVISING ASSESSMENT INFORMATION
- SECTION V : COMMUNICATING WITH FEDERAL PROGRAM MANAGEMENT

Relationships between these general areas of project manager responsibility are demonstrated in Figure 1.

The format of the guide treats each of the responsibility areas and their supporting activities by providing summary descriptions of potential sources of information and outputs to be achieved. Activities required in the transformation of information from "source" to "output" are described in greater detail and supported by examples when appropriate. There is no intention for this manual to be completely exhaustive of all information types or all activities which might be included in or result from project activities. However, the guidelines are representative and inclusive of those project personnel responsibilities and project activities which would normally be required in the planning and assessment of a project.

Project managers should in no way look upon the planning and assessment system as simply an exercise in filling out forms. Rather, the system guides them through a series of successive, and sometimes iterative, steps in the development of a project plan, the conduct of project activities, and the accompanying assessment activities. Completion of each FORM, and indeed, each Item within the FORMS, guides a project manager to a more precise and comprehensive characterization of his project, its intentions, and/or its effects.

Nor should the planning and assessment system be viewed as a document of relevance at only selected times within the project's life, for it should stand as a constant guide in the conduct of the project. Some of its components could perform similar services for other SWE projects and even the institution's total SWE program long after completion of the project.

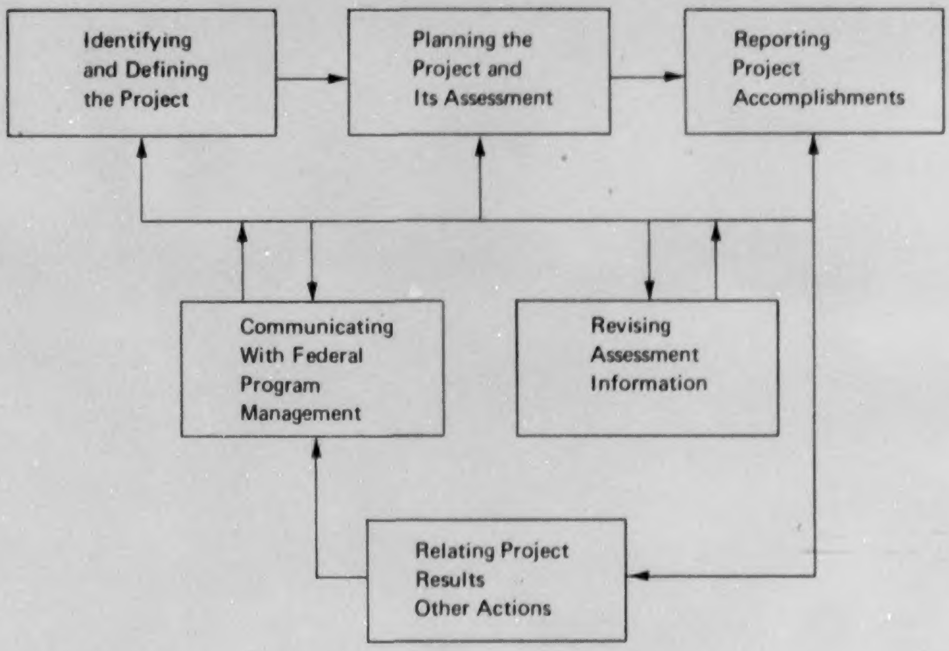
Identifying and Defining the Project
Planning the Project and Its Assessment
Reporting Project Accomplishments
Communicating With Federal Program Management
Revising Assessment Information
Relating Project Results Other Actions

Figure 1. Schematic Overview of Project Planning and Assessment

IDENTIFYING AND DEFINING THE PROJECT

This section describes the background preparation for the applicant's observations about the current and anticipated status and needs for social work education to which the project is addressed. It allows the applicant to identify social work requirements systematically and to relate these to SWE needs and to the present capabilities of the institution to meet these needs. Although the activities described in this section are a prerequisite to project planning, regardless of the nature of project assessment, the formats and instructions provided by the planning and assessment system for presentation and use of the background information should facilitate its preparation and, further, should contribute to the degree to which projects appropriately address real SWE needs.

The project manager's responsibility for identifying and defining the project is broken down into activities which are neither mutually exclusive nor totally sequentially dependent. Taken collectively, however, completion of these activities permits project personnel to assess SWE needs and the applicant institution's capability to meet the needs, which is adequate for identification of appropriate and feasible project areas. The project manager's responsibility for identifying and defining the project is described within the following areas:

A. Making the Decision to Apply for an SRS Grant
B. Identifying Potential Areas of SWE to be Addressed by the Project
C. Matching SWE Needs, Capabilities, and Capacities
D. Identifying and Delimiting Areas of Project Emphasis

A. Making the Decision to Apply for an SRS Grant

- *Immediate goal:* Decide whether to apply to SRS for a social work education grant.
- *Item-related activity:* None
- *Item referent:* None

The following are potential sources of information useful in the consideration of whether to apply:

– Announcements of the SRS Grant Program, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
– Discussion and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
– Administrative offices of the parent institution(s).

Institutions and persons interested in submitting a project should inform themselves about the intent, goals, and governing policies of the program. Preparation of a viable grant application requires a considerable investment of time. Key questions which should be answered in the decision as to whether or not that investment should be made include:

1. Does the institution meet the eligibility requirements of the grant program?
2. Are the institution's and the SWE program's long-range goals consonant with those of the grant program?
3. Is there a high probability that project funds would permit progress toward goals which would not otherwise be made?
4. Do the institution's and its SWE program goals concurrently contribute to the special goals of the grant program?
5. Is there a sufficient information about real-world conditions to describe or demonstrate SWE needs which might be effectively addressed through an SRS funded project?
   (NOTE: The preceding does not imply that *only* when valid research data are available to demonstrate a need will the project be funded. The intent is to identify a need, and, in the absence of valid data, the project manager's best judgment may serve to demonstrate the need. However, ignoring available research data may lessen the potential for project funding.)
6. Can the SWE program count on full support from the institution's administration and from its own staff to carry out the project intentions?

If all of the above questions can be answered affirmatively, it is appropriate to conclude in favor of investing the time and effort to prepare an application. If all of the above questions cannot be answered affirmatively, it is desirable to take action(s) which would remove the adverse condition(s) before expending the time and effort to apply for a project grant.

B. Identifying Potential Areas of SWE To Be Addressed by the Project

(Social Work Education Requirements Form)

- *Immediate goals:*
  (1) Identify specific areas of social and rehabilitation services requiring attention because of being overburdened and/or under-developed.
  (2) Specify the social welfare and rehabilitation services manpower demands currently being made and likely to be made, particularly as these demands for service personnel can be met by graduates of the SWE program.
  (3) Determine the social welfare and rehabilitation agency job-related characteristics of graduates of the SWE program at the institution.

- *Item-related activity:*
  (1) Locate the under-developed and/or needed social and rehabilitation services within the geographic areas served by graduates of the SWE program and describe the client populations along the dimensions of their ethnicity and problem for which service is required.
  (2) Specify the sources of applicants for social welfare and rehabilitation agency jobs and agency requirements for these jobs, opportunities for SWE program graduates, and the geographic/population area dispersion of SWE graduates of the institution.
  (3) Identify and discuss employment characteristics of SWE program graduates with respect to program emphasis of agencies in which employed, variety of jobs filled, entry salaries, career opportunities and progression, and the influence of SWE graduates on service delivery systems.
  (4) Present plans for updating information submitted in the FORM.

- *Item referent:*
  (1) Items 1-5, SWE REQUIREMENTS FORM.
  (2) Items 6-11, SWE REQUIREMENTS FORM.
  (3) Items 12-18, SWE REQUIREMENTS FORM.
  (4) Item 19, SWE REQUIREMENTS FORM.

Potential Sources of Information

- *The Handbook of Fundamental Assessment Concepts,* especially the discussion of Classes of Requirements Data.
- Follow-up surveys and informal feedback from graduates.
- Announcements of job openings and job placement data provided by the institution's and other placement services.
- Salary information derived from recruitment experiences or obtained from surveys.
- Research reports dealing with the quality and quantity of social welfare and rehabilitation services.
- Existing and pending legislation relating to social welfare and rehabilitation.
- Demographic data, available from census reports, and often available from local sources, e.g., social welfare and rehabilitation agencies.
- OEO Community Profiles which represent summary information on demography, economic conditions, types and levels of poverty.
- Locally prepared reports on economic conditions within the reference area, sometimes prepared by industry and business schools of universities.
- Vital statistics relevant to conditions of community health, ethnic background, types of housing, etc., frequently available from local public health services.
- Civic and welfare rights organization meetings and reports.
- Social work, rehabilitation, and social welfare literature.
- Special research studies conducted by the institution or by similar institutions within the area.
- Correspondence and discussions with social welfare and rehabilitation agency personnel.

The formatting of the SWE REQUIREMENTS FORM is designed for a systematic assessment of needs specific to the institution and area which the institution serves, i.e., the settings to which its SWE graduates go. The geographic and population areas served, along with their service settings, comprise the domain to which information provided by the project manager should relate. In today's mobile society, wide disperson of graduates is generally expected. Many graduates will make job and geographic changes within a few years of graduation. The selection of an area (or areas) to which the narrative should be oriented should logically give priority consideration to the first job placements after graduation, but should also attend to those the graduates are likely to encounter throughout their total professional careers. Extensive "hard" data may not be available and the information provided in some Items may frequently reflect the project manager's best judgment.

The Items in the SWE REQUIREMENTS FORM request the following kinds of information:

Service Delivery Needs. (SWE REQUIREMENTS FORM, Items 1-5.) Identification of major trends anticipated in social work and the adequacy of social work education to meet these needs is requested in Item 1. This Item is designed to furnish the project manager an opportunity to identify and to synthesize the implications of the total information provided in Items 1 through 17 of this FORM, analyze the information, and derive conclusions about the areas of SWE to which the project should attend. The project manager preparing an initial application may prefer to complete the INSTITUTIONAL INVENTORY FORM prior to providing this information, since one of his primary concerns is that of describing the institution's ability to meet the recognized SWE needs.

The information requested in Items 2 through 5 addresses the social welfare and rehabilitation settings to which the institution's SWE graduates go upon graduation. The settings are described in terms of areas of social and rehabilitation services which are overburdened or which are needed but not provided. Clientele served by these settings are described in terms of their ethnic group and the problems or conditions for which they seek help.

Extensive "hard" data may not be available and responses may frequently reflect the project manager's best judgment and estimation. However, the Office of Economic Opportunity (OEO) Community Profiles provide a description in one relevant dimension–the poverty within an area. These reports, which present data on a county-by-county basis, provide comparison of conditions within the county to the national norm on the following parameters which may have implications for service delivery needs:

- Magnitude of poverty–the number of families receiving incomes below the Social Security Administration (SSA) cutoff.
- Severity of poverty–the percent of families receiving incomes below the SSA poverty cutoff.
- Economic compensation–the per capita value of retail sales transacted.
- Family resources–the median family income.
- Employment conditions–the percent of the labor force which is unemployed.
- Educational achievement–the median years of education for persons age 25 and over.
- Functional illiteracy–the percent of the population that failed to complete more than four years of school.
- Adequacy of health care–the number of physicians per 100,000 population.
- Health status–the number of infant deaths per 100,000 live births.
- Sufficiency of housing–the average number of people per room.
- Agricultural prosperity–the value of the farmer's level of living index.

The OEO Profiles also present population distribution by race; some of the above comparisons are also provided on the basis of racial distribution.

Staffing the Services. (SWE REQUIREMENTS FORM, Items 6-11.) To the extent that institutions adequately reflect in their SWE program the environment in which their graduates will work, this area of the FORM provides a description of present and emerging requirements by social and rehabilitation agencies for a variety of academic and non-academic prerequisites for employment. It may also reflect the institution's or the project manager's perceptions of a changing social welfare environment, or a discrepancy between the students' and the institution's social welfare philosophies. Any of these conditions can contribute to the identification of real and appropriate SWE needs.

Example: Although students and faculty may be in accord for a heightened focus on an "advocacy" role and a less traditionally structured social welfare or rehabilitation agency environment, the dispersion of SWE graduates (SWE REQUIREMENTS FORM, Item 9) may demonstrate a preponderance of graduates in areas where such modes are rejected by the agencies and are alien to the mores of those served by the agencies. The project manager would be likely to draw the inference that no change or lessening of the stated philosophy is required, but that the SWE program must, in addition, undertake to make SWE students both more tolerant of such situations and better able to derive ways of getting around the circumstances in order to achieve social welfare and rehabilitation conditions and objectives they believe in.

Employment Characteristics of Graduates. (SWE REQUIREMENTS FORM, Items 12-17.) In a sense, this area of the FORM focuses on career prospects for the graduate and on the graduate's capability to fulfill his own intentions for a career in social work. This is in contrast to the previous area, which provides a description of agency requirements for academic preparation and the opportunities present for SWE graduates as compared with those without such preparation. The task of the project manager here is to characterize the SWE graduate's career prospects in terms of the variety of work situations and positions he finds, the salaries he may earn, and the career prospects for minority group persons entering the field of social work.

The availability of "hard" data in this area will likely simplify the presentation of information. Extensive research reports of studies appropriate to this area are unlikely, but if available, may contribute to more than one Item.

Example: A state survey of social welfare manpower is used in Item 13 to report that one year ago there were 409 positions in social welfare and rehabilitation agencies throughout the state, 142 of which were filled by minority group SWE graduates. This same study is quoted in Item 16 to document a 21 percent increase in the employment of minority group SWE graduates and the opening up of middle-management career opportunities in these agencies, particularly in the larger urban areas.

No single Item response is likely to identify an area of need. Nor is consideration of the information in one of the planning and assessment system FORMS—to the exclusion of other information—likely to establish an adequate background description for selection of major and/or sequential areas of project focus. The project manager preparing a statement of SWE requirements may, for example, want to utilize information presented in the INSTITUTIONAL INVENTORY FORM. The process here is an analytical one: implications of the responses about opportunities for SWE graduates should be considered in relation to the data about the social and rehabilitation services characteristics and needs; requirements for social work education should be examined in relation to institutional characteristics and resources.

Example: Social welfare and rehabilitation agencies to which the institution has traditionally sent a large proportion of its SWE graduates have recently been able to obtain larger numbers of social workers with a SWE background because of the institution's expanded social work education undergraduate program. These agencies have also had the opportunity to assess the differences in performance–reduced initial on-the-job training and improved overall performance–which they relate to the institution's expanded field instruction. As a result, they have become more specific and more vocal in stating skill, knowledge, and experience requirements for bachelor level social workers. This information (provided by the agencies and reported under Item 6 of the SWE REQUIREMENTS FORM) leads the project manager to caution that as much as there is a responsibility for the department of social work to be responsive to agency requirements, there is also the responsibility for them, as social work educators, to determine what that education should be. The project manager further recognizes that recent graduate dispersion (SWE REQUIREMENTS FORM, Item 9) and the agencies recent graduates have entered (SWE REQUIREMENTS FORM, Item 12) indicate a lessening of the proportion of SWE graduates going to those particular agencies. This heightens the project manager's emphasis on the implications for a broader-based educational experience than these agencies seem about to request.

On the basis of the analysis performed in summarizing the needs for social work education (SWE REQUIREMENTS FORM, Item 1), the project manager may elect to establish a file of long-range implications and potential project areas for immediate use. Potential long-range implications might satisfy the following uses:

- Establishing directions the social work education program should take.
- Justifying social work education directions to administrative personnel in seeking continuing support for the project and the SWE program.
- Influencing strategies for obtaining cooperation from other departments, institutions, and agencies.

The immediate utility of identification of potential project areas is, of course, in the selection of and planning for the project being proposed. These implications might be drawn as follows:

- If there are more opportunities for placement than there are students matriculating in social work education, the project manager may indicate a need for expansion of the program to provide additional opportunities for social work education.
- If social work education graduates appear not to have skills greater than non-SWE graduates or not to have skills equal to SWE graduates of other institutions, the project manager may indicate a need for innovative changes in the social work education curriculum.

For each Item of the SWE REQUIREMENTS FORM, the project manager will have indicated the source and recency of the information reported. Some of the information presented may reflect recent and sound research studies, but it is likely that many of the Items will have been responded to on the basis of his best judgment. Review of the notations about source and recency of information may indicate future needs for improved social work education requirements information in the following directions:

- Identification of areas where the information base is least current and/or most "soft"; that is, where there is a need for upgrading the quality of information so that future projections of social work education needs can be drawn more rigorously.
- Identification of systematic approaches to the determination of social work education needs. These indications may have implications for project planning and assessment, as well as for faculty and student research. They may also suggest that the project manager consider seeking other funds for such purposes.

Report Augmentation. (SWE REQUIREMENTS FORM, Items 18 and 19.) Space is provided project managers in this area to supplement the information submitted in response to the previous Items. Project managers are expected to indicate the ways in which they intend to update and upgrade the information as more specific data become available in the course of the project.

C. Matching SWE Needs, Capabilities, and Capacities

(Institutional Inventory Form)

- *Immediate goal:* Formulate sets of baseline information of the institution's resources, capacities, programs, and emphasis, with particular attention to identifying the institution's capability to respond to identified needs in social work education.
- *Item-related activity:* Organize and present quantitative data and narrative descriptive information with respect to the social work education program, its curriculum, emphasis, faculty, students, and administration.
- *Item referent:* All Items in the INSTITUTIONAL INVENTORY FORM.

Potential Sources of Information

- *The Handbook of Fundamental Assessment Concepts,* especially Table 3, Classes of Institutional Data; Table 4, Classes of Staff Data; Table 5, Classes of Student Data; Table 8, Classes of Curriculum Data; Table 9, Classes of Field Data; Table 10, Classes of Student Services Data; Table 11, Classes of Minority Group Data; and the related discussions.
- The completed SWE REQUIREMENTS FORM, especially Item 1 providing summary conclusions about the adequacy of SWE to meet the needs in social work.
- Student and SWE Graduate Follow-up data.
- Administrative offices, files, announcements, etc., of the institution providing descriptive information about the institution, its teaching staff, student body, course enrollments, accreditations, etc.
- Departmental offices, files, announcements, etc., providing descriptive information about the SWE program, its teaching staff, student body, course enrollments, accreditation, etc.
- Curricula and course descriptions for the SWE program, including the field instruction.

The step of consciously assessing the type and magnitude of difference between the identified SWE needs and the availability of resources to meet them is critical to project definition and planning. The questions to be answered include:

1. What are the needs, both general to SWE and specific to the institution?
2. What changes can be effected to meet these needs within the currently available resources?
3. On what time schedule and in what priority order might these changes be achieved?
4. What additional resources, including but not limited to SRS grant funds, can be identified to apply against these goals and schedules?
5. How would the availability of additional resources modify the previously identified time schedule and priority ordering?

The INSTITUTIONAL INVENTORY FORM is designed to facilitate description of the applicant institution in a way that can be related to the SWE REQUIREMENTS FORM. It should facilitate decisions about the SWE program's capacity to meet identified needs and assist in the design and implementation of the project. The inventory also serves as a baseline of information against which changes in resources, capacity, capability, productivity, etc., can be measured at subsequent points in time. Classes of Institutional Data presented in Table 3 of the *Handbook of Fundamental Assessment Concepts* may guide the project manager to areas of present and future concern with respect to the institutional description.

Most Items in the inventory request descriptions at both the undergraduate and the graduate program levels. These descriptions should be provided on the basis of the educational levels currently offered by the institution and not on the basis of the program level(s) to which the project is addressed. If the project involves more than one institution, separate descriptions are required.

The matching of SWE needs, capabilities, and capacities is accomplished according to the description of the institution provided by the INSTITUTIONAL INVENTORY FORM.

General Characteristics of the Institution. This area describes the population and institutional setting from which present and potential SWE students are drawn and the general academic context in which the project would operate. It characterizes the institutional resources for fulfilling some types of SWE needs which may indicate appropriate project objectives.

> *Example:* If the SWE REQUIREMENTS FORM indicates a need to provide minority group graduates of the SWE program and the student body of the institution is overwhelmingly non-minority, the project manager may consider an objective focusing on recruitment of minority group students prior to or in conjunction with an expansion of the SWE program. (*Note:* If the school does not currently have a social work education program, project personnel are not required to complete any Items of the INSTITUTIONAL INVENTORY FORM beyond the first three.)

Social Work Education Faculty Characteristics. Teaching staff resources are described primarily in terms of educational level, ethnicity, educational specialties, and salary comparisons with other departments within the institution and to other institutions (INSTITUTIONAL INVENTORY FORM, Items 5-8). Dimensions of these and additional teaching staff description considerations are presented in Table 4, Classes of Staff Data, in the *Handbook of Fundamental Assessment Concepts.* Data provided along categories presented in this area of the II FORM permit:

- Recognition of current teaching staff capabilities to meet the indications of needs in social work education.
- Identification of specific areas where teaching staff enhancement may be desirable.
- Presentation of baseline data for demonstration of achieved teaching staff enhancements.
- Demonstration of teaching staff characteristics in comparison with the social work education requirements data contributes to the identification

of specific types of teaching staff capability needs and may also contribute to the priority ordering of teaching staff-related objectives.

Example: If the number and level of teaching staff (INSTITUTIONAL INVENTORY FORM, Item 5) are not consonant with the objectives of the SWE program or are not adequate to meet the needs for a revised or expanded program, the project manager may consider an objective in the area of adding faculty. If comparison of SWE requirements data and curriculum descriptions indicates a need for major curriculum redesign and no teaching staff is available for such an assignment, the area of additional faculty for curriculum development would be of primary concern while that of further additional faculty for implementation of the revised and/or expanded curriculum could become a secondary focus. The emphasis on specific capabilities of these two groups of additional faculty might be very different, with those of the second group being very dependent upon the outcome of the first group's effort in revising or expanding the curriculum.

Social Work Education Student Characteristics. The SWE student description is, in part, quantitative across the areas of numbers of students admitted to and enrolled in SWE courses, the number declaring an intention to obtain a degree in social work or social welfare, and the number and types of degrees awarded. Table 5, Classes of Student Data, and Table 10, Classes of Student Service Data, in the *Handbook of Fundamental Assessment Concepts* identify parameters of these and additional student description areas which may be of concern to the project manager.

The geographical areas from which SWE students come, the presence of a consortium arrangement by the institution, and a provision for a discussion of the nature of student services–outreach, recruitment, admission, student counseling, and job placement–complete the SWE student description. Since provision for the special needs of educationally disadvantaged students is an important focus of the SRS grant program, the identification of these students and a discussion of the services available to them is given separate consideration in Items 27-29 of the INSTITUTIONAL INVENTORY FORM.

Student descriptions are made against the baseline of the previous and current academic year of SWE course enrollment, while the number of graduates reflects the most recently completed academic year. The SWE student descriptions permit the following:

- Identification of the potential of the SWE program to meet the needs indicated by the requirements data.
- Identification of SWE program student characteristics which may require special consideration.
- Presentation of baseline data for demonstration of achieved student-related objectives.

The student descriptions provided in this area interact significantly with the SWE requirements data to identify potential project areas, to act as a predictor of potential project achievements, and to provide a basis by which objectives can be priority or time-sequence ordered.

Example: The SWE student description may identify for the most recent academic year a far greater number of senior undergraduate students taking courses in SWE (INSTITUTIONAL INVENTORY FORM, Item 16) than obtained a degree in social work (INSTITUTIONAL INVENTORY FORM, Item 13). If the SWE requirements data indicate an urgent need in social work, the project manager may look for innovative approaches to encourage those taking only an occasional SWE course in their senior year to declare a social work major earlier in their academic year. He may also recognize that that any great effort in this direction will overburden the small SWE faculty, which already spreads its time and talents across a variety of activities (INSTITUTIONAL INVENTORY FORM, Items 5 and 8). Looking ahead to success at the student recruitment effort, he recognizes that the present faculty could not be expected to handle an increased student load. Thus, the project manager may identify the development of innovative approaches to student recruitment as his first priority objective, but also a second priority objective of adding to the SWE faculty within the first and especially the following grant years.

Characteristics of the Social Work Education Program. This area of the institutional description addresses the SWE program status, its objectives, its administrative characteristics with respect to credits and course requirements, and the curriculum content and emphasis. In addition to Table 3, Classes of Institutional Data, the Classes of Curriculum Data presented in Table 8 of the *Handbook of Fundamental Assessment Concepts* may guide the project manager in preparing the description of the SWE program.

The information presented here stands as a reference point for the other areas of the SWE program description and for potential demonstration of SWE program changes effected through implementation of the project plan. The identification of SWE program characteristics also contributes to the identification of objectives to be addressed by the project through comparison of needs and the SWE program's ability to meet these needs.

Example: The SWE REQUIREMENTS FORM may report that one of the ways non-SWE trained social workers surpass those with SWE background is in the area of interpretation of research reports (SWE REQUIREMENTS FORM, Item 11). A project manager noting this and judging that the SWE curriculum places hardly any emphasis on this activity (INSTITUTIONAL INVENTORY

FORM, Item 19) might reflect these two pieces of information as an objective to incorporate a research interpretation and utilization sequence into existing undergraduate courses in social work methods.

Characteristics of the Field Instruction. The background description of field instruction is intended to contribute especially to the further characterization and assessment of need for additions or modifications of the SWE curriculum. Field instruction characteristics provided in Table 9, Classes of Field Data, in the *Handbook of Fundamental Assessment Concepts* may be helpful to the project manager in preparing his field instruction description.

The field instruction is examined with respect to the following:

- The adequacy of current types and depths of field experiences provided students for meeting the needs described in the requirements data.
- The ability of the institution, i.e., its capabilities and resources, for fulfilling the indicated needs for field instruction.

Example: The present field instruction is characterized as essentially "observation" and encompasses what the project manager judges to be a minimal number of hours (II FORM, Items 15 and 21). The SWE requirements data indicate that SWE graduates from other institutions are frequently preferred by employers, since they are judged more job ready because of a greater concentration in field instruction in their undergraduate SWE programs (SWER FORM, Item 8). However, the project manager feels that the initial expansion of the field instruction should be directed specifically to only one or a few areas. He has recognized the need for increased emphasis in working with drug and delinquency problems of teenagers (SWER FORM, Item 5), that youth 13 to 20 years currently receive little attention in the field instruction (II FORM, Item 25), and that the instructional area of Human Growth and Behavior receives little emphasis in the curriculum (II FORM, Item 19). The project manager notes a potential project area reflecting increased attention to social welfare of youth through both additional classroom content and increased field instruction.

Other Social Work Education Program Features. This area is available to the project manager for provision of any additional description of the institution and/or the SWE program which he feels has pertinence to his project.

D. Identifying and Delimiting Areas of Project Emphasis

(Social Work Education Requirements Form and Institutional Inventory Form)

- *Immediate goal:* Characterize feasible project areas.
- *Item-related activity:* Determine feasible project emphasis and scope of project.
- *Item referent:* All Items in the completed SWE REQUIREMENTS FORM and INSTITUTIONAL INVENTORY FORM; possibly Items 1-4 of the PROJECT PLAN FORM.

Potential Sources of Information

- *The Handbook of Fundamental Assessment Concepts,* especially the chapter on objectives.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Administrative offices of the parent institution(s).

Activities to be accomplished here are described under the two areas of feasible project emphasis and project scope.

Feasible Project Emphasis. The process of defining the central thrust(s) or area(s) of project emphasis will require close examination of the SWE requirements information and the institution's resources and constraints for meeting these needs. This process is, of course, a refinement of that accomplished within the preceding activity–Matching SWE Needs, Capabilities, and Capacities. The difference here, however, is that while the earlier process was one of identifying *potential* areas, now the project manager is concerned with identifying *feasible* areas. Some of the more important considerations in this decision process are:

- The judged contribution the effort would make toward ultimate improvement of social work education.
- The judged contribution the effort would make toward ultimate improvement of social welfare and rehabilitation services.
- The compatibility of these objectives and achievements with overall SRS program goals and philosophies.
- The compatibility of these objectives with overall institutional and departmental goals and philosophies.

Example: The project manager proposing a project to implement training for urban social workers in a State-supported university whose administration feels its first obligation is to its own primarily rural constituents is not likely to find strong administrative support for the project.

- The probable time frame within which fruits of the effect would be realized. Projects which do not hold high promise for fruition within the proposed project period should probably not be attempted unless a likely source for continuation funding can be identified. The project manager may, however, be able to scale down such projects so that a more limited scope could be achieved within the grant years.
- The effects of continuing present conditions, i.e., the penalty for not undertaking the effort. This consideration may have greater application to combinations of objectives than to single objectives.

Example: A project manager may have as a primary focus for his project the training of several social workers with supervisory skills out of the disadvantaged SWE student population. Past failures in this area may make him cognizant of the need for special compensatory education if the project is to meet with success.

- The extent to which recent events and current conditions would facilitate accomplishment of the project and the likelihood that advantages of these events/conditions will continue to apply.

Example: A project manager planning an effort directed toward implementation of special innovative educational techniques formulated by one of the SWE staff might want to defer the project on the basis of the staff member's intention to take a leave of absence to complete his doctorate in social work.

- The extent to which efforts toward these achievements would contribute to or enhance the probability of other gains outside the scope of the project.

Example: The institution may currently offer only a few undergraduate courses in SWE and intend, with the help of the SRS project grant, to initiate a course sequence leading to a bachelor's degree. The project manager may further intend to use the success of the undergraduate program to gain support from his administrator for initiation of a graduate SWE program.

- The potential for achievement of the stated goals and perhaps augmented goals under auspices other than the SRS grant program.
- The extent to which institutional and departmental administrations support the project and, in particular, would assist in the search for resources beyond those provided through SRS, so that additional scope or project continuation beyond SRS support could be achieved.

Although there are no requirements for a specific product at this point of project identification, it is assumed that project personnel will use the list of potential project areas identified earlier as a basis for identification of feasible project areas.

Once the project manager has identified a feasible project area (or areas), he may want to coordinate this with the Federal manager to assure that his intentions are directed to areas of recognized SWE need. Such assurance would preclude the expenditure of time and effort in preparation of an application which could be partially or totally rejected.

Project Scope. (PROJECT PLAN FORM, Items 1-4.) It is likely that, having progressed thus far in the determination of the characteristics of the project, the project manager will have background and some of the administrative characteristics of the project in mind. This information is presented in Items 1 through 4 of the PROJECT PLAN FORM. (*Note:* Project managers preparing any other than an initial plan provide only that information which is changed or which clarifies a prior plan.)

PLANNING THE PROJECT AND ITS ASSESSMENT

This section describes the processes required in fulfilling the project manager's responsibility for establishing the information base by which the project is planned, conducted, and assessed. It provides a format within which project managers can formulate and state their own specific project objectives, the activities and events they intend in accomplishing these objectives, and the results they would consider indicative of satisfactory achievement of their objectives. In essence, the PROJECT PLAN FORM stands as a comprehensive project guide by which project managers implement their plans and monitor their project actions.

The project manager's responsibility for planning the project and its assessment is described within the mutually dependent areas of:

A. Stating Project Objectives.
B. Translating Project Objectives Into Action Indicators.
C. Establishing Performance Requirements.
D. Identifying Measurement Processes and Procedures.
E. Scheduling Achievements.
F. Identifying Administrative Supports.
G. Demonstrating Priorities of Objectives.
H. Stating Broad Project Expectations.

A. Stating Project Objectives

(Project Plan Form)

- *Immediate goal:* Identify and formulate the objectives of the project.
- *Item-related activity:* Complete the set of basic statements of project objectives.
- *Item referent:* The left-hand column of Item 5e of the PROJECT PLAN FORM.

Possible Sources of Information

- *The Handbook of Fundamental Assessment Concepts,* especially the chapter on Objectives.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- The list of feasible project areas.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.

In stating project objectives, project managers are encouraged to use the information and language they have used in generating the list of feasible project areas, i.e., they are encouraged to retain the flavor of their own intentions, reflecting the specific SWE needs they have identified. They are also encouraged to make use of the *Handbook of Fundamental Assessment Concepts,* especially the chapter on Objectives, which describes the basic framework around which this portion of the planning and assessment system is designed.

When stating project objectives for an initial plan, all significant objectives should be presented, even though activities specific to completion of less proximal objectives may not yet be clearly defined. Plans for events within the upcoming grant year will, of course, be known in greater detail than those for future years. What is to be avoided is the appearance of shortsightedness and the necessity of having to state, for each successive grant year, a set of objectives or accomplishments.

Example: Project managers intending an initial focus on student recruitment might also identify an objective of adding to the teaching staff and/or faculty to handle both the recruitment activity and the resultant expanded SWE program.

The statement of objectives (listed under PROJECT PLAN FORM, Item 5e) should incorporate an indication of "what is to be accomplished by when."

Example: For the project described above, the project manager would reflect that he intends to recruit SWE students out of a group taking occasional courses in SWE. He must also make some estimate of the number he intends to recruit over what period of time. He may also reflect the means by which he intends to achieve his goal. Thus, he might state his first objective as: "By the use of innovative techniques in a course on Current Social Welfare Philosophies, to place and technologically support students in a volunteer leader role and thereby, over the next four years, to annually encourage ten students demonstrating peripheral interest in social work to declare themselves SWE majors." The baseline data here are those reflected by the prior number of SWE graduates (INSTITUTIONAL INVENTORY FORM, Item 13.)

The project manager must decide to which of the five Broad Objective Areas ("A" to "O") his particular objectives are addressed, and enter them under the appropriate Primary Objectives A-1 through O-1 (Item 1a) of the PROJECT PLAN FORM. (These Areas are described in detail in the *Handbook of Fundamental Assessment Concepts.* Relationships between the four Areas and the way in which they contribute to the overall SRS Program are exhibited in Figure 4.) It may be a natural response for the project manager to assume his project addresses all Areas. But he must select that Area or Areas which he considers *primary* in his intentions.

Example: The first objective for the project, as stated in the example above, covers, either directly or indirectly, the Broad Objective Areas of: innovative techniques, student services, student recruitment, and adding opportunities for SWE. In addition, the objective implies the need for additional faculty. But the project manager determines that the primary focus of the first-year effort is student recruitment through innovative techniques for improved student services. The project manager thus records his primary objective in the PROJECT PLAN FORM, Item 5e (B-1) "Strengthen Student Services." He identifies a second objective under Item 5e (C-2) "Augment Faculty Capabilities" as follows: "To add one faculty member annually over the next four years, the first of which is for the development of innovative approaches to student recruitment, while subsequent faculty additions are for handling the expanded social work education program."

Objectives related to administrative support activities are stated only when they are especially significant to the conduct of other objectives of the project, [illegible] it is assumed that adequate administrative procedures for management and control of the project will be implemented. Items 8 through 18 of the PROJECT PLAN FORM are available for more detailed discussion of various types of administrative supports for the project.

Example: For the above project, the role of project manager will be assumed initially by the head of the social work department. He intends, once the project is underway, to hand the project over to the first new faculty member added for the project. In order that the handover of responsibility can be achieved efficiently, he establishes a monthly narrative reporting for himself. In addition to standard administrative documentation of events and costs, he has incorporated the presentation and discussion of data resulting from recorded interviews with prospective SWE students. He intends these review sessions to be conducted monthly during the first year and quarterly thereafter, and to involve the total SWE faculty and other appropriate persons designated as the project advisory panel. The project manager records an additional objective as follows: "To prepare narrative reports and hold project discussions involving the total SWE faculty and the project advisory panel monthly during the first year and quarterly thereafter–especially to review reactions of prospective students to the project's events, as gained through recorded interviews."

Lest project managers using this manual infer from the above discussions and examples that objectives must necessarily be stated in a complex and multifaceted fashion, it needs to be demonstrated that a single simple statement can adequately describe some or even all of a project's intentions.

Example: One of the objectives of a project could be stated under PROJECT PLAN FORM, Item 5e (A-3), "Make Offerings More Interdisciplinary," as: "To develop and incorporate instructional sequences in report preparations for psychiatric consultants into undergraduate and graduate social work methods courses within the grant year."

At this point the project manager will have provided a complete statement of project intentions. He may later find it necessary, however, to make revisions of these statements reflective of better understanding of available resources for achieving them and on the basis of realistic plans for demonstrating their achievement.

B. Translating Project Objectives Into Action Indicators

(Project Plan Form)

- *Immediate goal:* Specify activities and events which insure the attainment of the stated objectives of the project.
- *Item-related activity:* Identify the schedule of activities and events planned to accomplish the stated objectives of the project.
- *Item referent:* The center column of Item 5f of the PROJECT PLAN FORM.

Potential Sources of Information

- *The Handbook of Fundamental Assessment Concepts,* especially the chapter on Objectives, and Table 6, Classes of Plans and Schedule Information.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Administrative personnel of the institution and the department, particularly as they can provide information reflecting resources and constraints operant for the project and the SWE program.
- Departmental and institutional staff, particularly as they can contribute information and expertise for the determination of appropriate project methodology and the scheduling of project activities.

The step of translating objectives into action is one of prime importance to the project, for through it the project manager specifies the total conduct of the project to himself, the project staff, and to the Federal manager holding responsibility for project review. This aspect of planning the project translates project objectives into effective action indicators through identification of available resources and determination of required functions, methods, and activity sequences necessary for carrying out the objectives.

It is appropriate that the schedule of activities and events for more immediate objectives be known in greater detail than those related to achievement of more distant objective achievements. (The stages of translating objectives into action indicators are discussed in greater detail in the *Handbook of Fundamental Assessment Concepts.* The project manager may also find useful guidance for stating his schedule of project events and activities in Table 6, Classes of Plans and Schedule Information.)

The process of identifying resources available to the project is, at this point, primarily that of verification of earlier assessment of resources and constraints. (This is described in the previous chapter under *Matching SWE Needs,* *Capabilities, and Capacities.*) Now, resources and constraints are considered as they relate to the specific statement(s) of objective(s), i.e., the project manager attends to the fit between available resources, including those potentially available through the project grant, and the specific project expectations. In this process he may also determine a necessary reallocation of resources or attempt identification of additional resources for meeting project objectives. He must also attend to the closely associated identification of functions necessary to link outputs with objectives, and methods for carrying out the identified functions.

The project manager should establish a logical sequence of objectives and examine the total plan carefully with respect to the resources available, so as to make sure the initial statement of long-range goals is a realistic one in view of other commitments. The need to drastically revise the schedule of events should occur in response to unavoidable and unpredictable impediments to achievement of project expectations, rather than because of shortsightedness in initial project planning.

By way of illustration, the following example is provided to demonstrate the information utilized by an undergraduate department of social work as its faculty considered an objective. The objective is stated in its beginning form and probably underwent further refinement as the project manager and the faculty deliberated the ramifications of the proposed project. It can be assumed that there was much back and forth movement as ideas and suggestions made by faculty were explored, programmed, and redefined. The objective, as initially presented, was as follows:

> "Increase the undergraduate social work education student's knowledge about the legal system and increase his skill in working with members of the legal profession in the course of providing services to recipients of public assistance."

In a brief introductory statement, the project manager noted that both SWE graduates and current SWE undergraduate students were being called upon by their clients to provide information, guidance, support, and assistance in obtaining and utilizing the services of members of the legal profession. Recipients of public assistance, in particular, were the most insistent that social workers become more actively involved in helping them achieve redress as well as helping them to learn more about their rights. Contributing to this upsurge in demand for social workers to take on an extended role was the increasing number of activities of welfare rights organizations, particularly where more militant members of minorities were the leaders. The project manager noted, too, that reports from agencies employing recent graduates of the SWE program were including references to this phenomenon in both their formal reports and informal discussions with members of the faculty.

Informal discussions with the dean of the college of law on the campus tended to corroborate this development. The school of law faculty was considering introducing some new courses in order to help students (and alumni) relate more effectively to public assistance clients seeking them out for counsel. The law school faculty mentioned, too, that its graduates had little or no in-school experience in relating to social workers and were reporting some difficulty determining how "to share" a client who looked to both the lawyer and to the social worker for guidance and help. Implied was that some social workers attempted to advise their clients without knowing the limits of the law. Informal feedback from a number of SWE graduates, on the other hand, suggested that they felt that lawyers with whom they had worked tended to "take over" a case, did not seem to involve the worker in planning and defining areas of responsibility, and interrupted what had been their relationship with a client. An informal and limited inquiry by a number of field instructors brought out similar sorts of dissatisfaction among the undergraduate SWE students who were involved in cases necessitating a referral for legal services. The SWE students were also frustrated because they felt they did not know enough about the workings and orientations of lawyers to relate to them in a collaborative fashion.

The project manager, along with the faculty of the SWE program, thought that the gap in the SWE students' preparation was substantial enough to warrant further exploration within the SWE faculty and within the faculty of the law school. The SWE faculty was cognizant of the value of structured learning opportunities but wanted to provide some type of interactional opportunity also in order that SWE students and law students might have informal social contacts that could provide some reinforcement for the learning that was expected to take place in their classroom and field work settings.

The project director and the SWE faculty developed a preliminary set of sub-objectives in some detail and set them into a chronological sequence. They expected that as they plotted out their planning it might be reasonable to combine sub-objectives to avoid the appearance of over-detailed planning and scheduling. Events and activities were considered and the ones initially most likely to bring about the achievement of each sub-objective were retained. It was recognized by all that some of the proposed sub-objectives had to be attained concurrently with others, while the achievement of other sub-objectives could be expected to follow a rather definite sequentially arranged timetable.

The following is a working list of the proposed sub-objectives considered by the SWE faculty and the project manager, along with the activities and events initially thought to lead to the achievement of the objective and the several sub-objectives.

SUB-OBJECTIVE	EVENT/ACTIVITY
a. Determine the needs clients have for legal services.	a. Meet with representatives of field agencies now being used for field placement of SWE students; review information from lawyers practicing in the community who have reported working with clients known to social welfare, social work, and rehabilitation agencies or referred by social workers in the agencies; meet with representatives of the WRO, minority, and other client groups served by social workers. (All of these meetings will be co-ordinated by the project manager and a faculty-student sub-committee.)

SUB-OBJECTIVE	EVENT/ACTIVITY
b. Identify the needs and uses already made of legal services by persons who are "recipients of social work services in a public welfare agency."	b. Appointment of a task force composed of students (SWE and law), faculty (SWE and law), representatives from public welfare agencies, and the client groups served by SWE students in order to generate a list of priorities and worker-related impediments to meeting these needs.
c. Specify the meaning, level, and implications of the term "familiarity with legal systems."	c. Director of the SWE program will meet with an appointed committee composed of SWE faculty, students, law faculty and their students, in order to develop a working paper on the knowledge expectations of SWE students working in a public welfare setting.
d. Specify the meaning, level, and implications of the term "use of the legal system."	d. As in (c) but with the task of developing a working paper on the level of expectation of the skill aspect.
e. Identify the components of the legal system to be addressed by the proposed curriculum of the project.	e. The curriculum committees of the SWE program and the law school review the working papers (c) and (d) above and recommend the major emphasis of the learning opportunities.
f. Determine the feasibility of developing a seminar in the law school in which SWE students would enroll.	f. Curriculum committees of the SWE and law school meet with representatives of the administration of the two programs.
g. Determine the feasibility of developing a seminar in the law school in which SWE students would enroll.	g. As in (f).
h. Specify the major thrust, content, timing, and academic prerequisites of the cooperative seminar program.	h. An interdepartmental curriculum committee will meet to explore the relationship of the proposed seminar to existing course offerings, to spell out the major purposes of the seminar program in terms of the respective curricula, to develop syllabi, and to recommend alterations in existing course content in order to prevent duplication and/or to provide reinforcement.

SUB-OBJECTIVE	EVENT/ACTIVITY
i. Identify the several types of SWE student/law student interaction desired.	i. Joint SWE student/law student committee meets with a subcommittee of the inter-departmental curriculum committee.
j. Identify faculty resources available to carry responsibility for the proposed seminar program.	j. Director of SWE program and Dean of the law school meet with combined faculty.
k. Obtain faculty sanction to initiate seminar program.	k. As in (j) with recommendations made with respect to recruitment of new faculty, if necessary.
l. Obtain institutional sanction.	l. Director of SWE program and the Dean of the law school meet with the Vice-chancellor of Academic Affairs and his committee.
m. Recruit students for seminar courses.	m. Interdepartmental committee consisting of student members of previous committees and faculty arrange meetings with students to explain purpose of the seminar; faculty advisors are provided with pertinent curriculum data and course objectives, etc.

The above listing is one example of how an objective might be broken down into a series of sub-objectives and the activities and events developed with respect to them. It is apparent that there are some gaps in the smooth flow of activities as well as in the sub-objectives. This is a beginning approach, however. By setting down the initial thinking of the faculty and the project manager, it is easier to identify the points at which the objective (or sub-objectives) needs to be reconceptualized or at which the planned activities have not taken into account important considerations and decisions.

C. Establishing Performance Requirements

(Project Plan Form)

- *Immediate goals:* Delineate project performance requirements in terms of:
  (1) Operational criteria, i.e., stating the basis on which performance is to be judged.
  (2) Performance standards, i.e., establishing the point at which the performance is to be judged as adequate.
  (3) Assessment criteria, i.e., identifying those indicators which will stand to identify adequate performance.
- *Item-related activity:* Relate performance requirements to the appropriate project objective(s).
- *Item referent:* Items 5e, 5f, 5g of the PROJECT PLAN FORM.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts,* especially the chapters on Operational Criteria and Assessment Criteria.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Follow-up data about social work education graduates.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Departmental and institutional staff, particularly as they can contribute information and expertise for the determination of appropriate project and assessment methodology.

At this point, the project manager begins to bring his plan for project assessment into focus. This is not to imply that project and assessment planning are two separate and unrelated activities. Rather, it is a matter of emphasis, with assessment planning representing one distinct responsibility within overall project planning responsibility. The extent of dependence of assessment planning on project planning does not permit it to occur without an interlocking of activities. Nor is it appropriate for project planning to go very far downstream without both undertaking assessment planning and developing strategies for the integration of assessment results into future operational considerations.

(Within the activity descriptions provided for this area, frequent reference is made to pertinent portions of the *Handbook of Fundamental Assessment Concepts,* as information contained there can contribute to understanding of, and assistance in the process of establishing, performance requirements. In particular, the chapters on Operational and Assessment Criteria will be useful and project managers are urged to review these two chapters prior to initiation of activities in this area.)

The process of establishing performance requirements involves three sequential and closely related activity areas: stating operational criteria, identifying performance standards, and determining assessment criteria. These provide the basis for description of the activities through which performance requirements are derived.

Although these performance indications represent an informal response within the assessment system, their enunciation is a critical component of project and assessment design. It will be necessary for project managers to develop their own procedures and formats for stating performance requirements. An elaborate procedure is not intended. However, the information derived and its preservation should be assured.

Operational Criteria. (One presentation within the *Handbook of Fundamental Assessment Concepts* which will be of significant help in the statement of operational criteria is the description of parameters of operational criteria.) The planning and assessment system presents (and in later reporting requirements makes use of) one framework of operational criteria. This structure is based on the consideration of the proximity of events, i.e., ranging from those immediately and directly under the control of the project manager to those remote from such control.

Thus, for the four Broad Objective Areas (which provide the structure for Item 5 of the PROJECT PLAN FORM), sample operational criteria are provided. The proximity consideration results in a hierarchical structure of operational criteria for Primary Objectives falling within the four Broad Objective Areas under which the project manager previously states his objectives. A category "Other" is provided as the fifth Broad Objective Area which should be used by the project manager when his project's objectives do not lend themselves to the four Areas and/or the Primary Objectives already specified as part of the planning and assessment system. The sample operational criteria should help the project manager in stating his operational criterion also.

It is important to recognize that neither the planning and assessment system nor the SRS Project Management sets performance or assessment requirements for a project. Rather, *each project manager sets his own standards and describes the means by which achievement will be demonstrated.* An adequate statement of project objectives will go far in providing operational criteria, often containing explicit indications of required project performance and identifying variables on which performance is to be judged.

> *Example:* In the project objective stated in the example, "To develop and incorporate instructional sequences in report preparation into undergraduate and graduate courses in social work methods within the grant year," and in the related scheduling of project events, the project manager has identified two explicit indications of operational criteria—completion of design of the course sequence and their initiation at the midpoint of the grant year.

Statements of objectives may also contain implicit indications of required project performance.

Example: For the project objective in the example above, the project manager might also identify operational criteria relevant to a demonstration of instructional effectiveness. He could state this on the basis of the tests incorporated in the course design. He might hope, too, to demonstrate the job effectiveness of the instruction by a performance demonstration comparing non-SWE trained social workers and SWE graduates who took the project-initiated report writing course segments on job-related report writing. The project manager might, in lieu of better data, base this comparison on subjective reports provided by social work supervisors.

Performance Standards. Project objectives may, in addition, stipulate a performance standard, i.e., the point at which adequacy of performance will be judged to have been achieved.

Example: The project objective for student recruitment incorporates the number of students to be recruited by stating: "...over the next four years, to annually encourage ten students...to declare themselves SWE majors."

Project objectives may also contain implicit indication for stating performance standards, i.e., they identify an area in which a performance standard must be set.

Example: In the project intending to incorporate consultation report writing instruction into social work method courses, some indication of desired test achievement would need to be stated as a performance standard. If the operational criterion is to be based on tests prepared as part of the course development, only a general statement of the performance standard could be made prior to test development. However, if performance on a standard test is to be the operational criterion, an early identification of the performance standard is possible. The standard might be stated in terms of average student performance with respect to the norm for the test.

Stating operational criteria and stipulating related performance standards for qualitative changes is generally more difficult than for quantitative changes.

Example: If a project is intended to promote an SWE environment which will help students to better adapt to the eventual work situation, the project manager would, of course, be able to state performance standards relevant to timely achievement of whatever strategy he intends (e.g., through revisions in the field instruction, a course designed to improve skills in analysis and control of interpersonal interactions, etc.). But achievement of the ultimate goal must reflect a better adaptation to the work situation. For this purpose he might implement a followup questionnaire and state a performance standard of: "50% of students who were exposed to instructional situation created by the project cite the course and relate it to skill areas."

Assessment Criteria. The discussion of assessment criteria presented here is intended to demonstrate how the project manager arrives at assessment criteria, as well as to demonstrate some of the problems he may encounter. Prior to identifying assessment criteria, project personnel are urged to review the chapter on Assessment Criteria in the *Handbook of Fundamental Assessment Concepts,* particularly the section on Types of Assessment Criteria. It is essential that assessment criteria reflect the real world to which the project is addressed.

Example: The project manager focusing on improved report preparation plans to implement a two-year follow-up study with the cooperation of social work supervisors in rehabilitation agencies using psychiatric consultation. The supervisors will report comparisons of report writing performance of non-SWE trained social workers and those having been exposed to the project-supported instruction. He has now identified three assessment processes which may have varying degrees of relevance to the goal of preparing SWE graduates to be better prepared for their job-related report writing activities. The test designed as part of the course is likely to bear directly on the course content. Only to the extent that the course content incorporates that which is essential to the job report preparation task will the tests have relevance to the real goal of the project. And, unless the standard tests bear significantly on the requirements for such consultation reports, they, too, may suffer the same lack of job-relatedness. The supervisor reports will probably bear the closest relevance to the real world to which the project is addressed.

The time of measurement can be of special significance for assessment criteria.

Example: In the above example, the project manager would not want to initiate his supervisor evaluations until the SWE graduates affected by the course are assigned a consultation report preparation responsibility. Based on his knowledge of social work job responsibilities, he has determined that at least a six-month and not more than a one-year interval between graduation and use of the procedure is appropriate. If he delays more than one year, the follow-up study may reflect on-the-job rather than project-supported training. Likewise, for the example presented for use of a follow-up questionnaire, the project manager delays implementation until he feels graduates would have settled into their jobs and would be able to assess what attributes of their educational experiences have significance for their job responsibilities.

D. Identifying Measurement Processes and Procedures

(Project Plan Form)

- *Immediate goal:* Specify the assessment plan which delineates the context and the dimensions of the assessment, including the identification of samples, data and measures, and analysis procedures.
- *Item-related activity:* Develop a summary description of the methods and the results to be achieved through the assessment plan with respect to the attainment of the project's objectives.
- *Item referent:* The right-hand column of Item 5g of the PROJECT PLAN FORM.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts,* especially the chapters on An Assessment Model, Assessment Criteria, and Priorities.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Follow-up data on social work education graduates.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Departmental and institutional staff, particularly as they can contribute information and expertise for the determination of appropriate assessment methodology.

The identification of measurement processes and procedures is, in effect, the operationalization of the previous step of establishing performance requirements. As project managers undertake this activity, they will find review of portions of the *Handbook of Fundamental Assessment Concepts* extremely useful, especially the chapters on An Assessment Model, Assessment Criteria, and Priorities. The planning and assessment system does not ask for provision of the detailed plans for project assessment. Rather, it requests a summary description of methods and results the project manager intends for demonstration of project effects. But completion of the assessment plans to the point of the reflection of valid and realistic assessment procedures is necessary. The same requirement for establishing plans within available resources and visible constraints which applied for project planning on the whole applies for the development of assessment plans.

> *Example:* Prior to incorporating the use of a standard test in the assessment of the project planning for the incorporation of a report writing instructional sequence, the project manager will need to identify such a test and assure its relatedness to the course content and to the task of social work reporting.

An important part of the detailed assessment plan is the identification of what information will be maintained in project files, the sources of the information, its planned use, and the format which will facilitate timely access to the data. The section on "Structure of Data Classes" in the *Handbook of Fundamental Assessment Concepts* should be a potential help in identifying classes of information appropriate to assessment data collection. Follow-up questionnaires of social work education graduates may also help the project manager in establishing plans and formats for student-related information. (Please refer to Appendix A for an example of a follow-up instrument for graduates of social work education programs.)

Example: For the student recruitment project, implementation of a record, identifying and characterizing students taking courses in social work education, would greatly facilitate conduct and assessment of the project.

Identification of common data needs across several objectives can result in considerable economy and help in the determination of the form and content of data and field to best serve the effort. Even a cursory examination of the total array of data needs may permit adjustment of plans to effect greater efficiency and maximum use of resources for assessment. Such preliminary examination should be a part of the planning inherent in application for a new project grant. Once a project is approved, detailed development of an integrated data collection and analysis plan should be among the first priorities of the project manager.

Example: If the project for implementing report writing instructional sequences also intends incorporation of additional instructional content, a comprehensive file for identification of students affected by one or more of the instruction-related objectives is indicated. The availability of such information would be an essential prerequisite to student follow-up as, for example, through implementation of a follow-up questionnaire of social work education graduates and the superior evaluations.

In designing project assessment, project managers will also want to keep the Federal program manager's responsibility for program assessment in mind. That is, they will want to provide information which will contribute to program review, as well as to provide information for assessment of their own individual project. Narrow operational aspects of the project are easier to address than broad general effects. The *SRS Program management, in performing its dual responsibility for both program and project review, is looking for both.* While the project manager's focus may be somewhat confined to demonstration of project effects, his contribution to social work education must be incorporated into the accumulation of such effects across the broad SRS Program.

E. Scheduling Achievements

(Project Plan Form)

- *Immediate goal:* Formulate a schedule of intended project accomplishments across the entire span of the proposed project.
- *Item-related activity:* Translate the schedule of intended project accomplishments into the specific Primary Objective Achievement Steps to which the project's objectives apply.
- *Item referent:* Item 5h of the PROJECT PLAN FORM.

Potential Sources of Information
– The *Handbook of Fundamental Assessment Concepts,* especially the section on Sample Operation Criteria for SWE Projects. – Documentation prepared for Item 5 of the PROJECT PLAN FORM.

The statements of Achievement Steps (Hierarchy of Criteria) that have been developed for the purposes of the planning and assessment system are suggestive and should not be viewed as inflexible and binding. There is a danger that any schema, no matter how well devised, may become concretized and unduly influence the direction and evolution of project planning. No schema can simultaneously set down a rigid outline while at the same time addressing itself to a growing, evolving, and developing plan. Hopefully, the risk inherent in specifying or even suggesting is offset by the function of such a schema in helping project managers think through a calendar of achievements for their projects. It helps them to do this within a ready-made set of available terms so that their project accomplishments might be communicated to others in a common language.

Although the more distal levels of achievement are difficult to demonstrate within the span of the project, these statements have been included for the respective Primary Objectives in order to set the upper limits of the hierarchies and to suggest the boundaries of the several sets of statements. Inasmuch as the more distal levels tend to emphasize the qualitative aspects of the outcome of the efforts of the projects, it might be tempting to consider that qualitative evaluation of project outputs is more appropriate at those levels. Project managers might consider the value of developing plans to include attempts at measuring qualitative variables as well as measures of characteristics lending themselves to quantification, particularly at the lower and/or intermediate levels of the Achievement Steps. Any implied emphasis on quantification should not be interpreted as favoring that approach over the utilization of measures of qualities or descriptions of qualities.

While project managers are asked to address themselves and their project planning to an entire set of statements of Achievement Steps for the appropriate Primary Objectives, the project manager has the freedom (and is encouraged) to develop his plan to demonstrate the achievement of a limited number of Achievement Steps. In these instances, the given statements of Achievement Steps could not possibly communicate nor describe fully the depth and extensiveness of the accomplishments of the project envisioned by the SWE institution. The project manager is free, therefore, to indicate the level of achievement at which the project will make its first demonstration, and he is free, too, to specify the upper limits of that which is to be demonstrated within the lifetime of the proposed project. The only constraint is that accomplishment of any preliminary Achievement Steps will have been demonstrated.

This portion of the planning and assessment system allows the project manager to schedule his expected project accomplishments against pre-established statements of Achievement Steps and to use this information in the following ways:

- To demonstrate how his plans fit a logical sequence of accomplishments relevant to the broad areas of the program's objectives to which his specific objectives are addressed.
- To provide easy comparison between project intentions and actual project achievements.
- To envision, and perhaps even demonstrate, how his project plans and subsequent accomplishments can be related to the broader foci of social work education, social welfare and rehabilitation services, and social worker performance.
- To provide data to the Federal manager for implementation of individual project plan and accomplishment data into cross-project review data for assessment across a spectrum of broad to highly specific program parameters.

The Project Plan Form contains separate four sheet packets for each Primary Objective. The project manager selects the Primary Objectives relevant to his project, examines his plans for assessment (summarized in the right-hand column, Item 5g, of the Primary Objective packet used), and compares his expected demonstration of results with the statements of Achievement Steps provided in Item 5h of the Primary Objective packet used.

Development of the project plan indicates satisfactory completion of the most proximal statement(s) of Achievement Steps.

Example: The project manager intending incorporation of consultation report writing instruction into the social work methods courses identifies this objective as fitting within Primary Objective A-3: "Make Offerings More Interdisciplinary." He recognizes that in planning the project he has already achieved the first level Achievement Step and indicates accomplishment here by entering the symbol "__" at level "a" in both the undergraduate and graduate columns.

Some statements within the hierarchies may not be of relevance to the project because parallel developments are incorporated in the hierarchical structure.

Example: For the project objective in the above example, the project manager would note that levels "b," "d," and "f" apply to the incorporation of new material from already included disciplines. His objective for report writing instruction attends only to the parallel focus of incorporation of additional disciplines. He would indicate this by entering the symbol "XX" at levels "b," "d," and "f" in both the undergraduate and graduate columns to indicate that these steps will not be demonstrated within the project. His schedule for second-term implementation of the instruction indicates he will accomplish levels "c" and "e" within the first grant year and he enters these dates for both program levels.

Some statements within the hierarchies will not be demonstrated or represented within project plans even though they have potential for demonstration. Some demonstrations will be possible only after some period of time has elapsed.

Example: For the same objective as in the above examples, the project manager decides he has made no provision for demonstrating levels "g," "h," "j," and "k." He would indicate this by entering the symbol "XX" at these levels in both the undergraduate and graduate columns. He has expanded his plans for testing students to incorporate a test of a control group of SWE students prior to receiving the report writing instruction. He plans this for the second year of the course and so he enters the second grant year for level "i." He has decided to use two years of follow-up, so he schedules these results for the third year of the project and enters that date at level "l."

A project manager may identify more than one project objective as falling within one of the Primary Objectives within which the hierarchies of achievement are stated. In scheduling his achievements, he would follow the rule of indicating the grant year within which he expects to make the *first positive demonstration* that the step has been achieved, regardless of whether it applies to one or more of the project objectives.

Example: If the project manager in the above example also has an objective to incorporate a course in adolescent psychology into the SWE curriculum—in addition to the other psychology courses not included—he would also schedule the expected demonstrations for this objective within the Primary Objective A-3. The "b," "d," and "f" level statements would apply specifically to the second objective, but the other statements would apply for both objectives.

Project managers should not expect to routinely identify expected demonstrations of achievements at the more distal levels which apply to superior social worker performance, greater numbers of social work education graduates entering social work, better social knowledge and skills, improved social welfare and rehabilitation services and conditions, etc. The demonstration of such effects as singularly related to the project will be difficult and frequently beyond both the project's and the SWE program's resources.

It is important for project managers to recognize that the SRS grant management uses the aggregate of responses to the PROJECT PLAN FORM, Item 5, as one source of prediction of SRS Program accomplishment. Project managers are given the opportunity for rescheduling or revising their expected demonstrations of project achievement through submission of revised planning information. But they should strive to be as realistic as possible in stating expectations, keeping in mind the constraints which apply for adequate assessment.

F. Identifying Administrative Supports

(Project Plan Form)

- *Immediate goals:*
  (1) Identify impediments to the interaction of the social work education program with its significant compents and environment and how the project is expected to ameliorate these.
  (2) Identify impediments to the interaction of the social work education program with its significant components and environment that may arise as a consequence of the project and what is planned to cope with this.
  (3) Identify the administrative activities necessary for the successful achievement of the project's objective(s).
- *Item-related activity:*
  (1) and (2) Describe in a summary fashion the nature of the impediments and intended activities designed to diminish these impediments.
  (3) Describe in a summary fashion the administrative support activities of the project.
- *Item referent:*
  (1) Item 6, PROJECT PLAN FORM.
  (2) Item 7, PROJECT PLAN FORM.
  (3) Items 8-18, PROJECT PLAN FORM.

Potential Sources of Information

- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, and requirements.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Departmental and institutional staff and files, particularly as these can contribute information for the projection of certain consequences of the project, of project reporting, of project funding and resource allocation, and project leadership.
- Administrative and budgetary information generated in preparation of application for a project grant.

The Items included in this portion of the PROJECT PLAN FORM touch upon administrative supports for activities which are related to the initiation and conduct of a project. The activities listed in this portion of the FORM are not exhaustive of all activities, and project managers may wish to refer to others (PROJECT PLAN FORM, Item 23.) A number of the activities and their administrative supports may be developed as objectives in the course of the project and would be referred to in Item 5e of the PROJECT PLAN FORM. The Items in this portion of the PROJECT PLAN FORM are provided to permit a more detailed discussion of these activities and their administrative supports. In this respect the information to be furnished is related both to the nature of the activities as well as to the specifics of the support provided the project by and through the administrative structure and processes in the institution.

Example: The project manager may note in Item 15 that a definite schedule and format has been developed for the compilation, organization, and circulation of interim and final reports of project accomplishments to persons and organizations significantly related to the social work education program. He notes, too, that the administration has allocated a portion of the workload of two teaching staff not directly related to the project to meet with community agencies during the course of the project in order to interpret certain aspects of these reports.

G. Demonstrating Priorities of Objectives

(Project Plan Form)

- *Immediate goal:* Distribute the operational objectives of the project on the basis of their relative importance and priority.
- *Item-related activity:* Rank-order the project's operational objectives on the basis of their priority over the first five years of the grant period and within the context of the four Broad Objective Areas (plus any added by project personnel.)
- *Item referent:* Item 19 of the PROJECT PLAN FORM.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts,* especially the chapters on Operational Criteria and Priorities.
- The PROJECT PLAN FORM.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.

The process of stating specific plans for the project and its assessment (PROJECT PLAN FORM, Item 5) provides a means by which project managers can demonstrate their year-by-year focus and the shifts this focus may take across a number of grant years. The rank ordering of project intentions (PROJECT PLAN FORM, Item 19) also provides the basis by which project costs can be identified with the project objectives (PROJECT PLAN FORM, Item 20) and permits later comparison between project plans and accomplishments.

Example: The project intending an initial focus on student recruitment has identified the Broad Objective Area of "Students" as the prime objective during the first grant year. The project manager has also perceived a need for additional faculty to handle the increased student capacity. If he has also identified other intentions, such as to provide increased opportunities for field instruction and to develop an innovative use of intra-institutional resources for the social work education program during later stages of the project, he might respond to PROJECT PLAN FORM, Item 19, as shown in Figure 2. If the project was also attending to a different set of objectives for graduate SWE, the project manager might respond as shown in Figure 3.

BROAD OBJECTIVE AREA	GRANT YEAR AND PROGRAM LEVEL									
	1974		1975		1976		1977		1978	
	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad
Curriculum	3		3		1		2		2	
Students	1		2		2		3		3	
Faculty	2		1		4		4		4	
SWE Institutions	4		4		3		1		1	
Other (specify)	—		—		—		—		—	

Figure 2. Sample Rank Order of Broad Objective Areas in Plan for an Undergraduate Project (PP FORM, Item 19)

BROAD OBJECTIVE AREA	GRANT YEAR AND PROGRAM LEVEL									
	1974		1975		1976		1977		1978	
	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad
Curriculum	3	—	3	2	1	3	2	3	2	3
Students	1	—	2	—	2	—	3	—	3	—
Faculty	2	2	1	3	4	1	4	1	4	1
SWE Institutions	4	1	4	1	3	2	1	2	1	2
Other (specify)	—	—	—	—	—	—	—	—	—	—

Figure 3. Sample Rank Order of Broad Objective Areas in Plan for Combined Undergraduate and Graduate Project (PP FORM, Item 19)

H. Stating Broad Project Expectations

(Project Plan Form)

- *Immediate goals:*
  - (1) Determine the relationship of project costs to the priority listing of the project's objectives.
  - (2) Specify those students who are expected to be affected by the project.
  - (3) Identify faculty whose activities will be supported by the project.
- *Item-related activity:*
  - (1) Allocate project costs on the basis of the five-year rank ordering of the project's objectives.
  - (2) Describe the degree goal, ethnicity, and numbers of students who are expected to be affected by the project.
  - (3) Describe the faculty and faculty activities expected to be supported by the project.
  - (4) Provide a brief interpretive summary and any additional comments deemed relevant to the presentation of the project Plan.
- *Item referent:*
  - (1) Item 20, PROJECT PLAN FORM.
  - (2) Item 21, PROJECT PLAN FORM.
  - (3) Item 22, PROJECT PLAN FORM.
  - (4) Item 23, PROJECT PLAN FORM.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts,* especially the chapter on Data and Measures.
- The PROJECT PLAN FORM.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, and requirements.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Departmental and institutional staff and files, particularly as they can contribute information for the projection of project costs and anticipated student and faculty effects.
- Budgetary information generated in preparing application for a project grant.

The statement of broad project expectations provides a framework within which project managers can provide quantitative estimates for:

- Comparing project expectations across grant years.
- Comparing project accomplishments with project expectations.
- Summarizing project expectations across a set of information which is standard for all projects, regardless of specific objectives.
- Providing data to Federal managers for compilation of standard data across multiple projects.

The activities required for preparation of statements of broad project expectations are described and examples are provided.

Project Cost (PROJECT PLAN FORM, Item 20). The focus of the estimated costs provided in this Item is the Broad Objective Area given prime importance within a given grant year (as identified in Item 19 of the PROJECT PLAN FORM). The initial consideration is the estimated SRS and total (all other plus SRS) cost for completion of the first order Broad Objective Area, regardless of the anticipated costs for completion of additional objectives. Once this cost is determined, further cost allocations are made on the basis of additional costs required for completion of successively lesser priority objectives.

Example: According to the rank order of Broad Objective Areas (Figure 2), the project manager would be likely to allocate a large proportion of his first year costs to the Area of "Students." The additional cost for "Faculty" and "Curriculum" might constitute the total estimated cost during the first year, with the fourth-ranked Area of "SWE Institutions" requiring no additional costs during this period. In contrast, estimated costs for the second year might focus heavily on "Faculty," with the other Broad Objective Areas requiring lesser additional funding. By the fourth year, although the project manager still has an objective relevant to "Faculty," he may not require funds for accomplishing this Broad Objective Area over those he has estimated for the other objectives.

The cost of project assessment should be considered in the allocation of project costs across project objectives and grant years.

Example: The plans for the project incorporating consultation report writing instructional sequences indicate completion of the course materials and their implementation during the first grant year. The project manager intends application of some of his assessment procedures during the second and third grant years. He will want to reflect any additional costs required for the assessment, i.e., costs in addition to those required for other project objectives having greater priority during these later grant years.

Interdependencies among allocation of costs which are not reflected in this Item may be reported under this Item in a narrative addition.

> *Example:* In the second demonstration of rank ordering of objective areas (Figure 3), the project manager may feel that, although he has not stated an undergraduate objective for "Social Work Education Institutions," all of the undergraduate and graduate plans act in an interdependent fashion to contribute to this area.

The multidimensional pattern showing the distribution of anticipated project expenditures by grant year, educational level, and area of objectives serves as a cross-check on the logic of project planning in other areas of the PROJECT PLAN FORM, particularly the statement of major objectives (Item 5) and the priorities of areas of project objectives (Item 19).

Students Affected (PROJECT PLAN FORM, Item 21). One impact of the project which can be readily quantified is the number of students expected to be affected by the project. The project manager's best estimate of the number, degree goal, and ethnicity of students to be affected each sequential grant year is based on those students who participate in SWE courses which are wholly or partially supported by the project. A given educational experience may, of course, be supported through multiple sources, only one of which is the project. And projects may affect students through activities other than course participation.

> *Example:* If a project intending to help social workers to better adapt to their work environment chooses to do so through implementation of special field instruction experiences, the project manager would report those students participating in the project-supported field instruction as affected under the appropriate categories in this Item. (*Note:* Project-relatedness will derive its meaning from the nature of the objectives and thus will vary from project to project.)

In general, the following guidelines will apply in identifying students affected by an SRS project:

- When all or part of the salary of a faculty member instructing a course is paid out of project funds, all student credits earned in the course will be considered project-related.
- When the development of special materials or course content is supported by project funds, all students earning credits in the course will be considered as project-related.
- When the instruction of a given course has been directly influenced by faculty development experiences supported by project funds, all student credits in the course will be considered project-related.
- Where project funds provide for special student services, e.g., compensatory education, transportation between campuses, the affected students and the course credits should be considered project-related.

When recruitment activities funded by the project result in a student's entering SWE courses, credits for that student in those courses will be considered project-related.

The final decision as to which students are directly affected by the project will be made by the project manager and on the basis of his intimate knowledge of the project and its objectives. To insure objectivity and consistency across successive grant years, the rules for classifying students as project-related should be established during the project planning stage and should be a formal part of the project's records.

Faculty Activities (PROJECT PLAN FORM, Item 22). The project manager describes the impact the project is expected to have upon and through the faculty. That is, both the number and type of faculty and the activities the faculty are engaged in are reflected. The presentation of faculty support information provides a basis for assessing future accomplishments as well as providing a cross-check with other planning information, especially the major plans of the project stated in Item 5, and resources to be used in accomplishing objectives as described in Item 20 of the PROJECT PLAN FORM.

Example: Planning for a project which expects to conduct a major revision of the SWE curriculum during the first grant year and launch new field instruction sequence the second year would reflect appropriate emphasis on these areas of faculty resources for the respective years, and would insure that commensurate cost allocations were reflected in the budgetary allocations.

The faculty information also permits the project manager to assess his staffing needs against the kinds of activities planned for the project.

Example: If the project objectives indicate a need for assignment of considerable faculty resources to an expanding field instruction program over the total project, and the faculty at project initiation is characterized by a large number of staff whose degrees are in disciplines other than social work, the project manager would be likely to perceive a need to ensure that new faculty assigned in subsequent grant years hold degrees in social work.

Relationship to Other Activities (PROJECT PLAN FORM, Items 4, 6, 7, 10 through 13). Resources required to accomplish a set of objectives are often influenced by economies effected as a result of other previous or concurrent activities. Similarly, the achievement of some expectations may bear heavily on the previous or concurrent achievement of other expectations. It is important that such dependencies between this project and other on-going or previous activities be fully reflected, so that project managers as well as Federal managers may perceive the project in full and proper perspective. Likewise, there may be potential barriers or impediments to achievement of full expectations of a project.

The early identification of these may occasion identification of strategies for negating or diminishing their effect. Project managers are provided the opportunity for describing these institutional and community considerations as they impinge on the potential for achievement of the stated project objectives.

Additional Potential Funding Sources (PROJECT PLAN FORM, Items 13 and 18). The identification of alternate, subsequent, and additional concurrent funding sources which would strengthen the prospect of achievement of project activities is of special importance to project managers. It is expected that the goals achieved under the project are to be continued and furthered through subsequent SWE activities. The search for additional resources should be of prime importance in early planning, and the identification of such funding potential may have impact on the type and extent of emphases the institution's SWE may eventually display. The project manager's plans and aspirations for other funding sources are described under Items 13 and 18 of the PROJECT PLAN FORM.

Interpretive Summary (PROJECT PLAN FORM, Item 23). In spite of the specific request for many types of information within the planning and assessment system, there may be significant impressions or observations the project manager wants to highlight with respect to his particular project plans. These may be provided in an interpretive summary in this Item.

REPORTING PROJECT ACCOMPLISHMENTS

This section describes the processes required in fulfilling the project manager's responsibility for describing the results he has achieved through the project's performance. The format employed for reporting accomplishments closely resembles that used in the statement of project plans, permitting an efficient reporting process but also enhancing the project manager's ability to compare his plans and achievements and interpret this information for future planning implications. Because of the great similarity between stating plans and describing project results, project managers will find the discussions in the previous chapter of help in preparing their accomplishment reports.

The planning and assessment system requires submission of PROJECT ACCOMPLISHMENT reports annually at the end of the grant year and at completion of the total project. However, project managers may elect to provide special reports of project accomplishments on an interim basis. The activities described here apply to preparation of all types of accomplishment reports. Previously reported accomplishments should be reflected but need not be described in detail.

The project manager's responsibility for reporting project accomplishments is described within the areas of:

A. Describing Project Results.
B. Demonstrating Achievement of Objectives.
C. Demonstrating Priorities of Objectives.
D. Stating Broad Project Accomplishments.

A. Describing Project Results

(Project Accomplishment Form)

- *Immediate goals:*
  (1) Identify the time referent of the report of project accomplishment(s).
  (2) Update information having implications for interpreting the report of project accomplishment(s).
  (3) Review project-related activities intended to achieve the project's objectives appropriate to the time-span of the report.
- *Item-related activity:*
  (1) Specify the type of report and the grant year (or other time referent) of the report.
  (2) Decide whether updated and/or revised information appropriate to previously submitted SWER, II, and PP FORMS has implications of sufficient import to warrant submission of revised FORM(S) or just a narrative discussion.
  (3) Inter-relate the results of the activities and events occurring during time-span of the report period with the appropriate objectives.
- *Item referent:*
  (1) Item 1-2, PROJECT ACCOMPLISHMENT FORM.
  (2) Items 3-5, PROJECT ACCOMPLISHMENT FORM.
  (3) Item 6(a)-6(c), PROJECT ACCOMPLISHMENT FORM.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts,* especially the chapters on Operational Criteria and Assessment Criteria.
- The PROJECT ACCOMPLISHMENT FORM, especially Items 1-18.
- Prior submissions of PROJECT ACCOMPLISHMENT FORMS.
- The completed PROJECT PLAN FORM.
- The completed SWE REQUIREMENTS FORM.
- The completed INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Project files and worksheets which should represent the total project-related plans and activities to date.
- Sections A through D of PLANNING THE PROJECT AND ITS ASSESSMENT in this manual.

In stating project accomplishments, project managers should be able to depend heavily upon the plans they have stated for the project and its assessment (PROJECT PLAN FORM, Item 5e through 5g). There is also close similarity between the activities required here and those described in stating their project plans (Sections A through D of PLANNING THE PROJECT AND ITS ASSESSMENT).

Context and Changing Dimensions of the Project Plan (PROJECT ACCOMPLISHMENT FORM, Items 1 through 5). Initially, project managers will want to identify the type of report they are providing (under PROJECT ACCOMPLISHMENT FORM, Item 1) and the period of time covered by the report (under PROJECT ACCOMPLISHMENT FORM, Item 2). Project managers will want to reflect any revisions they have made to their SWE requirements information, their institutional descriptions, and their project plans which have relevance to the accomplishments being reported. These are provided under PROJECT ACCOMPLISHMENT FORM, Items 3-5. (Revisions of these portions of assessment information are discussed in the next chapter.) The activities required in reporting project accomplishments are described with respect to the types of outputs identified.

Project Objectives (PROJECT ACCOMPLISHMENT FORM, Item 6(a), A-1 through O-1). Project objectives are stated to match those presented in planning the project (under PROJECT PLAN FORM, Item 5e). That is, regardless of how much has been accomplished or how the events of the project might reflect a need for change in the statements of objectives, at this point the objectives for the project do not change. (Objectives may be modified through submission of subsequent PROJECT PLAN FORMS. These activities are discussed in the next chapter.)

Project Activities and Events (PROJECT ACCOMPLISHMENT FORM, Item 6(b), A-1 through O-1). The summary of project progress should reflect success with respect to the areas of objectives and events and activities scheduled in the planning information (under PROJECT PLAN FORM, Item 5f). Results in one objective area may have implications for plans in other areas.

> *Example:* The project manager of a project for student recruitment has interviewed students taking SWE courses and has found more than the expected number declaring their intention to become SWE majors. (He reports this information under Item 6(b) of the PROJECT ACCOMPLISHMENT FORM.) But he has not been able to hire the first additional faculty member on schedule. Further, if his greater than expected results in student recruitment continue, he may want to accelerate his plans for additional faculty. (He reports this information under Item 5(d) of the PROJECT ACCOMPLISHMENT FORM.) The delay in faculty hiring has also caused him to delay handing over the project director responsibility. He anticipates that he will not be able to accelerate these plans and will retain his role as project director until the new faculty member has been on the staff the length of time he originally intended. The additional burden of continuing in the role of project director has already forced an earlier than planned cutback in the frequency of the meetings

with the SWE faculty and the advisory panel. (He reports this administrative aspect of the project under Item 5(e) of the PROJECT ACCOMPLISHMENT FORM.)

Project Results and Assessment (PROJECT ACCOMPLISHMENT FORM, Item 6(c), A-1 through O-1). Here the project manager identifies the processes and procedures he has implemented in demonstrating his project achievements. These are likely to correspond closely to his description of assessment intentions (provided under Item 5g of the PROJECT PLAN FORM). He will, however, want to identify any modifications or refinements to those plans. In particular, if his assessment represents results and/or methods of interest to others in their assessment activities, he will want to attach a fuller description or report of the assessment activities.

B. Demonstrating Achievement of Objectives

(Project Accomplishment Form)

- *Immediate goal:* Compare the accomplishments of the project during the reporting period with the schedule of Achievement Steps previously adopted.
- *Item-related activity:* Decide and indicate whether the Achievement Step(s) previously scheduled (within all appropriate Primary Objective Areas) for the reporting period and the remaining grant years are unchanged.
- *Item referent:* Item 6(d) and cross-reference Item 5 as appropriate.

Potential Sources of Information

- *The Handbook of Fundamental Assessment Concepts*, especially the section on Sample Operational Criteria for SWE Projects.
- The PROJECT ACCOMPLISHMENT FORM, especially Item 6(d), A-1 through O-1.
- The completed PROJECT PLAN FORM, especially Item 5h.
- Project files and worksheets which should represent the total project-related plans and activities to date.
- Section E of PLANNING THE PROJECT AND ITS ASSESSMENT in this manual.

The project manager repeats the process employed initially in scheduling Achievement Steps but now schedules these Achievement Steps on the basis of project accomplishments during the reporting period. All Primary Objective Areas in which Achievement Steps have been previously scheduled (PROJECT PLAN FORM, Item 5h) should have the schedule updated. Unexpected achievements or lack of achievement may reflect changes in the schedule for future expectations.

Example: If the schedule for preparing the course materials for a report writing project were to miss the deadline, incorporation of the materials into the social work methods course would be delayed and the project manager's plans for demonstrations of improved student and social worker skills would also be delayed. Thus, under Item 6(d), B-1 of the PROJECT ACCOMPLISHMENT FORM the project manager would not be able to indicate achievement of his first-year plans for the project at level "e." He would probably also note in Item 5 that future plans should incorporate a revised schedule of achievements.

C. Demonstrating Priorities of Objectives

(Project Accomplishment Form)

- *Immediate goal:* Identify project activities receiving varying degrees of emphasis during the reporting period.
- *Item-related activity:*
  (1) Compare activities given priority (organized within Broad Objective Areas) during the reporting period with rank ordering of Broad Objective Areas previously submitted.
  (2) Decide if changes in project rank ordering is necessary.
  (3) Project a rank ordering for an additional grant year beyond that originally projected.
- *Item referent:* Items 7-9.

Potential Sources of Information

- The *The Handbook of Fundamental Assessment Concepts,* especially the chapters on Operational Criteria and Priorities.
- THE PROJECT ACCOMPLISHMENT FORM, especially Items 7-9.
- The PROJECT PLAN FORM, especially Item 19.
- Project files and worksheets which should represent the total project-related plans and activities to date.
- Section G of PLANNING THE PROJECT AND ITS ASSESSMENT in this manual.

The rank ordering of Broad Objective Areas here closely parallels that described for project planning (Item 19 of the PROJECT PLAN FORM). Where project accomplishments equate to project plans, matched rank orderings will result unless other circumstances indicate a change in direction of future project activities. Where project accomplishments either do not meet or exceed project plans, some readjustment of rank order of the Broad Objective Areas is likely to be necessary.

Example: If during the first year of the project for which the major objectives are rank ordered in Figure 4, the project manager was very successful at "Curriculum" but was unable to provide the intended student services, and had less than anticipated success with the development of SWE institutional resources, he might readjust his priorities over the next two grant years and respond to Item 7 in the PROJECT ACCOMPLISHMENT FORM as shown in Figure 4.

Project managers will find the comparison of rank order of Broad Objective Areas between project plans and accomplishments a useful focus for identifying *how* project accomplishments differ from project intentions. An interpretation of these comparisons is provided under Item 8 of the PROJECT ACCOMPLISHMENT FORM.

BROAD OBJECTIVE AREA	GRANT YEAR AND PROGRAM LEVEL									
	19___		19___		19___		19___		19___	
	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad
Curriculum										
Students										
Faculty										
SWE Institutions										
Other (specify)										

Figure 4. Sample Rank Ordering of Operational Objectives (Broad Objective Areas) in a First Year Accomplishment Report for an Undergraduate Project (PP Form, Item 19)

Example: For the above example, the project manager would note the rank order of his first year accomplishments as significantly different from that presented in his plans (by reference to Item 19 in the PROJECT PLAN FORM). He would describe the difference in emphasis achieved and reflect his interpretation of the reasons for the difference.

Project managers will also find the comparison of rank order of objectives areas between those provided in plans and accomplishments a useful focus for assessing the impact of changes in future project emphases. These comparisons are provided under Item 9 of the PROJECT ACCOMPLISHMENT FORM.

Example: The project manager in the preceding example reflects significant changes over the next two grant years, but also notes that these changes will permit accomplishment of the project he had initially intended. That is, on the basis of his new projections, by the fourth year he would be back on his original schedule. The changes reflected (under Item 7 of the PROJECT ACCOMPLISHMENT FORM), however, are significant enough that he would be required to submit a modification to his original plan. If his new plans require an adjustment in project funding, he would submit a "revision" to his prior plan. If there are no funding changes, he may submit a "partial" plan, replacing only those portions of planning information which he has modified.

D. Stating Broad Project Accomplishments

(Project Accomplishment Form)

- *Immediate goal:* Specify the accomplishments of the project during the reporting period with respect to
  (1) monies allocated within the framework of priority-rated Broad Objective Areas;
  (2) the number of students affected by the project;
  (3) the allocation of faculty supported by the project; and
  (4) its essential accomplishment.
- *Item-related activity:* Compare and specify the ways in which the actual experiences with respect to (1), (2), and (3) differed from previously submitted estimates.
- *Item referent:*
  (1) Items 10-12.
  (2) Items 13-14.
  (3) Items 15-16.
  (4) Items 17-18.

Potential Sources of Information

– The *Handbook of Fundamental Assessment Concepts,* especially the chapter on Data and Measures.
– The PROJECT ACCOMPLISHMENT FORM, especially Items 10-18.
– The completed PROJECT PLAN FORM, especially Items 20-22.
– The completed SWE REQUIREMENTS FORM.
– The completed INSTITUTIONAL INVENTORY FORM.
– Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
– Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
– Project files and worksheets which should represent the total project-related plans and activities to date.
– Budget information generated in preparing application for the grant and in demonstration of project performance.
– Departmental and institutional staff and files, particularly as these can contribute information concerning student and faculty characteristics and activities.
– Section H of PLANNING THE PROJECT AND ITS ASSESSMENT in this manual.

In stating broad project accomplishments, project managers are providing quantitative demonstrations of project achievement which they can use for comparison with similar quantifications of project expectations (reported under Items 20-22 of the PROJECT PLAN FORM). These quantifications also provide summary data for Federal program managers in the compilation of demonstrations of program effects across multiple projects. The activities required in deriving these quantifications correspond to those discussed under Section H of PLANNING THE PROJECT AND ITS ASSESSMENT in this manual.

Funding of Project (PROJECT ACCOMPLISHMENT FORM, Items 10-12). Actual costs incurred in the conduct of the project are recorded under Item 10 of the PROJECT ACCOMPLISHMENT FORM, across the Broad Objective Areas. Again, the focus is on the Broad Objective Area ranked of prime importance, but this time on the basis of accomplishments (as identified under Item 6(b) of the PROJECT ACCOMPLISHMENT FORM). Comparisons are then drawn between estimated costs (Item 20 of the PROJECT PLAN FORM) and actual costs. The significance of discrepancies between estimated and actual costs is reported under Item 11 of the PROJECT ACCOMPLISHMENT FORM. There are no firm rules for making this judgment. But project managers may expect to find significant differences on the basis of:

- Major differences in the rank order of areas of objectives.
- Unforeseen costs related to an area of objectives.
- Unforeseen economics related to an area of objectives.

If major cost differences incurred create changes in future cost estimates, a "revised" PROJECT PLAN FORM is required. These revisions are essential to the Federal program manager in his overall program planning and must be provided on the basis of changes related to:

- Total project cost projections.
- Changes in cost allocations against grant years.
- Changes in cost allocations against areas of objectives.

Where cost interdependencies are not adequately reflected by the above, project managers can describe them under Item 12 of the PROJECT ACCOMPLISHMENT FORM.

Students Affected (PROJECT ACCOMPLISHMENT FORM, Items 13-14). The number and type of students affected by the project are identified under Item 13 of the PROJECT ACCOMPLISHMENT FORM. In providing this demonstration, project managers should apply the same basis for identifying students as was used in response to Item 21 of the PROJECT PLAN FORM. A comparison between the projection and the achievement relevant to students is made under Item 14 of the PROJECT ACCOMPLISHMENT FORM. Here the project manager should identify the reasons for significant over- or under-achievement. Differences in the number and type of students affected may have implications for modification of future project plans.

Project-Related Activities of Faculty (PROJECT ACCOMPLISHMENT FORM, Items 15-16). The impact the project had on the number and type of faculty and their activities is described under Item 15 of the PROJECT ACCOMPLISHMENT FORM. As for the students-affected demonstration, a comparison is made between faculty-related accomplishments and expectations (as described under Item 22 of the PROJECT PLAN FORM). Differences between the two projections are described under Item 16 of the PROJECT ACCOMPLISHMENT FORM. Just as other aspects of project accomplishments may have an impact on future implications for SRS support of faculty activities, differences in achievements specific to the faculty may reflect a need for revision of other aspects of the project.

Supplemental Information (PROJECT ACCOMPLISHMENT FORM, Item 17). Significant achievements, or lack of achievement, which do not fit within the broad demonstrations provided under Item 6 of the PROJECT ACCOMPLISHMENT FORM, can be described under Item 17 of that FORM. These demonstrations may relate to specific within-project effects, or may derive from the impact of the project on other aspects of the SWE program, the institution, or the community.

Interpretive Summary (PROJECT ACCOMPLISHMENT FORM, Item 18). Here project managers are able to provide a narrative summary of major project accomplishments and to demonstrate the general impact these accomplishments have for future project activities and intentions.

REVISING ASSESSMENT INFORMATION

This section describes the project manager's responsibility for meeting the continuing requirement of interpreting project accomplishments with respect to the specific SWE needs the project is intended to meet and to the ever-changing SWE and social welfare and rehabilitation climates. In performing these functions, the project manager incorporates into project operation those elements of open-ended system operation which allow him to be constantly aware of, and responsive to, the new conditions and situations the project and other events create.

The project manager's responsibility for revising assessment information is discussed as it relates to:

A. Reassessing SWE Needs, Capabilities, and Capacities.
B. Revising Project Plans.

A. Reassessing SWE Needs, Capabilities, and Capacities

- *Immediate goal:* Identify changes in project context and specify how they (may) impinge on previous project plans.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts.*
- The completed PROJECT ACCOMPLISHMENT FORM(S).
- The current PROJECT PLAN FORM.
- The current SWE REQUIREMENTS FORM.
- The current INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Project files and worksheets which should represent the total project-related plans and activities to date.
- Research reports dealing with the quality and quantity of social welfare and rehabilitation services, economic conditions of the area, etc.
- Correspondence and discussions with social welfare and rehabilitation agency personnel.
- Follow-up surveys and informal feedback from SWE graduates.
- Departmental and institutional staff and files, particularly as these can contribute information concerning student and faculty characteristics and activities, and operational guidelines and characteristics.
- Sections B and C of IDENTIFYING AND DEFINING THE PROJECT in this manual.

Project managers will provide revised assessment system information on the basis of a variety of informations and for a variety of reasons. There is no way to predict how, when, or why all such submissions would be prepared. Rather, the intent is to demonstrate some key elements which might figure in such a decision and to highlight how some information might be addressed.

A revised statement of the SWE requirements would, of course, be provided through either partial or total completion of a new SWE REQUIREMENTS FORM and in consideration of the discussions presented in Section B of IDENTIFYING AND DEFINING THE PROJECT. Revisions would usually be provided on the following conditions:

- The SWE REQUIREMENTS FORM provides the most convenient vehicle for demonstrating project effect.
- Recently available information reflects that the project operates within a context sufficiently different from that earlier presented as to impinge upon the project's objectives and intentions. These are the types of information which are to be reflected under Item 4 of the PROJECT ACCOMPLISHMENT FORM. The revisions might represent effects of the project or other SWE events or might be based on recent studies which update or invalidate prior data or judgments.

Example: A recently published study identifies a heightened need for graduate social workers at the bachelor's level with special skills the project intends during the third and fourth grant years. Further, it identifies a need for master's level social workers out of the disadvantaged population. The project manager presents this information in support of (1) acceleration of the special training program, and (2) incorporation of a new objective to provide compensatory training at the graduate level to encourage undergraduate students to continue at the graduate level.

Revised institutional descriptions are provided through partial or total completion of the INSTITUTIONAL INVENTORY FORM and in consideration of the discussions presented in Section C of IDENTIFYING AND DEFINING THE PROJECT in this manual. Reasons for submission of the institutional description closely parallel those presented for preparation of the revised SWE requirements information.

Although there is no assessment system requirement for end-of-grant preparation of either the SWE REQUIREMENTS FORM or the INSTITUTIONAL INVENTORY FORM, preparation of these documents at that time would greatly contribute to the project manager's assessment of the effects of his project. In addition, the provision of these documents to the Federal manager would greatly enhance his review of SWE needs, capacities, and capabilities as they have been enhanced through the project.

B. Revising Project Plans

- *Immediate goal:* Inform Federal managers of any changes in project plans.

Potential Sources of Information

- The *Handbook of Fundamental Assessment Concepts.*
- The current PROJECT PLAN FORM.
- The completed PROJECT ACCOMPLISHMENT FORM(S).
- The current SWE REQUIREMENTS FORM.
- The current INSTITUTIONAL INVENTORY FORM.
- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- Project files and worksheets which should represent the total project-related plans and activities to date.
- PLANNING THE PROJECT AND ITS ASSESSMENT and Section C of REPORTING PROJECT ACCOMPLISHMENTS in this manual.

Specific conditions relevant to project accomplishments under which resubmission of the PROJECT PLAN FORM is required are described under Item 5 of the PROJECT ACCOMPLISHMENT FORM and discussed in Section C of REPORTING PROJECT ACCOMPLISHMENTS. Project managers may also resubmit their PROJECT PLAN FORMS on the basis of reassessment of SWE needs, capabilities, and capacities, as described in Section A above. This is not to imply that project managers may not submit revised plans for other reasons. However, the SWE REQUIREMENTS, INSTITUTIONAL INVENTORY, PROJECT PLAN, and PROJECT ACCOMPLISHMENT FORMS represent a comprehensive picture of the SWE program and the project. It is therefore anticipated that project managers will, within the parameters represented therein, be able to document reasons for resubmission of changes to their project objectives and intentions.

The preparation of a modified PROJECT PLAN FORM corresponds directly to the preparation of an initial FORM, with the exception that only changed information needs to be provided, i.e., information which does not change is incorporated by reference to the prior plan. All of the discussions presented in PLANNING THE PROJECT AND ITS ASSESSMENT will be of use to project managers in preparing a modified project plan.

COMMUNICATING WITH FEDERAL PROGRAM MANAGEMENT

Virtually the entire process of planning and assessment is one of communication, whether formal or informal. In its more formal aspects, the FORMS themselves determine the nature of the communication. Yet there are some situations in which informal communication can be a valuable asset to the efforts of both project personnel and Federal management. The issue is addressed by examining:

A. Informal Project Plans.
B. Tracking Project Performance.

A. Communicating Informal Project Plans

- *Immediate goal:* Utilize the information resources of the Federal manager to develop appropriate plans and foci for a project.

Potential Sources of Information

- Announcements of the SRS grant programs, including memoranda, bulletins, legislation, etc., describing program goals, scope, policies, requirements, etc.
- Prior discussions and correspondence with personnel in the Social & Rehabilitation Service, Department of Health, Education, and Welfare.
- The SWE REQUIREMENTS FORM.
- The INSTITUTIONAL INVENTORY FORM.
- The preliminary inputs to the PROJECT PLAN FORM.

Submitting and discussing informal project plans is a process which can be beneficial to both project staff and Federal management, since it serves to help both zero in on appropriate SWE targets. The process helps the project manager to:

- Focus more sharply on the needs and desires of Federal management.

Example: A project manager discusses his plans for expanding the graduate SWE program with Federal management. His intentions encompass recruitment of students in the undergraduate SWE department in his own institution, as well as from other institutions. The Federal manager indicates that this is an important objective, but that the project could be more valuable if combined with one or more other important objectives. The project manager notes that making openings for minority students is an important program objective. He therefore decides to attempt to make a cooperative agreement with two small colleges with large minority enrollment, so that minority enrollment in his graduate program may be enhanced.

- Utilize knowledge and experience of the Federal manager to make the proposed project more technically sound.

Example: During discussions with the Federal manager, a project manager learns of a standardized survey form for assessing graduate job satisfaction. The project manager notes that this survey form will be useful in the internal assessment of his project.

- Present potentially important educational ideas, particularly highly innovative ones, about whose applicability within the grant program the project manager is uncertain.

To make the process effective, a project manager should, of course, prepare for informal contacts with Federal management by actively searching out the sorts of issues which he wishes to raise. Some of these issues might include:

- Portions of grant guidelines, instructions, forms, etc., which are unclear or vague to him.
- SWE REQUIREMENTS FORM information indicating the existence of important objectives not currently being considered by Federal management.
- Aspects of a potential project about which applicability within the grant program is uncertain.
- Identification of appropriate assessment techniques and methodologies for various aspects of a potential project.

B. Tracking Project Performance

- *Immediate goal:* Inform the Federal manager of potential impediments to project progress.

Potential Sources of Information

- The current PROJECT PLAN FORM.
- The current SWE REQUIREMENTS FORM.
- The current INSTITUTIONAL INVENTORY FORM.
- Discussions with and observations of project staff, students, social welfare and rehabilitation agency personnel, personnel from other institutions, and others who have a direct effect on, or are directly affected by, the project.
- Preliminary results of project and assessment activities.
- The project manager's perceptions and opinions concerning the impact of relevant situations on potential project performance.

While the planning and assessment system provides for scheduled and well-defined assessment activities, there are situations where events may conspire to make a periodic and informal evaluation of project progress valuable. In dealing with complex social issues, it is unlikely that even the most thorough and efficient contingency planning will identify all possible eventualities. When they do occur, the project manager should be prepared to identify them, assess qualitative aspects of their potential impact on project activities, and discuss them with Federal management. In this manner, Federal management may be kept informed of project progress, and may be able to act in an advisory capacity to ameliorate the effects of adverse conditions.

The range of situations which might be of interest to Federal management is quite great, and includes all phenomena which might affect the capability of the project to perform as planned. The following items are representative of the kinds of issues which should be considered:

- Changes in the project staff.
- Changes in social contexts which would potentially affect project performance.

Example: A project manager at University A notes that College B is in financial trouble and may have to close its doors for lack of funds. College B is a small school with predominantly black enrollment. University A has had cooperative arrangements with College B for recruiting students for its graduate school. The project manager feels that this situation may have an impact on his plans for recruitment of minority students. He informs Federal management of the potential threat to achievement of his project objective.

- Unforeseen developments in project activity which might affect project performance.

Example: A project is preparing a course which combines information from several disciplines to form a "Social Sciences for Social Welfare Workers" sequence for the undergraduate SWE program. With the aid of a group of consultants from other schools and departments within the institution, the project is developing this course to cover aspects of psychology, sociology, public health, and economics. The economics, sociology, and public health portions of the course development are proceeding well, but some deep-seated disagreements have broken out among the three psychologists who are preparing the psychology portion. As a result, the preparation of the course may be delayed, and the project manager so informs Federal management.

GENERAL INSTRUCTIONS FOR COMPLETION OF ITEMS IN SWER, II, PP, AND PA FORMS

A cross-reference insert precedes the presentation of each Item. Categories "a," "b," and "c" direct your attention to Items found in the FORM and other FORMS to which the information requested may have direct or indirect relationship. This cross-referencing information is provided to assist you in the preparation of the project request. Category "d," the number of CONTINUATION SHEETS used, has space for you to insert the number of such sheets you have used to discuss more fully the information requested in the Item noted. (A copy of the CONTINUATION SHEET is included at the end of this discussion.)

Each CONTINUATION SHEET has space for you to provide the number of sheets you are using for the Item you specify and the numerical sequence of the CONTINUATION SHEET you are using. For example, show: THIS IS CONTINUATION SHEET #3 of 4 CONTINUATION SHEET(S) FOR ITEM #17 OF THE:____SWER FORM;____II FORM;_✓_PP FORM;____PA FORM. Use only one CONTINUATION SHEET or set of CONTINUATION SHEETS for an extended discussion of one Item in each FORM.

CONTINUATION SHEETS should be inserted as close as possible following the page on which the noted Item appears. These inserted CONTINUATION SHEET pages should be paginated (see upper right-hand corner of the SHEET) beginning with "1" for the first CONTINUATION SHEET you use for a FORM "2" for the second SHEET used for that FORM, etc. The highest numeral inserted as an insert page reference should correspond to the total number of CONTINUATION SHEETS used for that particular FORM.

When you have used a CONTINUATION SHEET for any Item, indicate this by placing the number of CONTINUATION SHEETS used for that Item in the parentheses provided opposite the title of that Item under the heading "CONTINUATION SHEETS USED" in the Table of Contents for that FORM. A reviewer will then be prepared to anticipate additional discussion of that Item. If any information you provide would be enhanced by a narrative statement other than when it is specifically requested, please use any space provided in the Item before using a CONTINUATION SHEET.

In a number of instances it will be important to indicate the source of your information and/or whether the information you provide is based upon an estimate. When figures you insert in a table are estimates only (except in those cases where the table asks for estimated datum), indicate this by placing an asterisk (*) immediately following the figure (for example, 23*) to indicate an estimated value. Indicate a frequency of "zero" by leaving a blank space. The symbol "___" should be used whenever a category in a table is not applicable to your plan or institution. Information requested in the Items should be provided if at all possible. "Hardness" of data may have to wait; close and appropriate approximations are equally desirable for the purposes of the Items in all four FORMS.

PART II

LIMITED DEMONSTRATION OF SYSTEM OPERATION

This part summarizes the principal activities involved in using the planning and assessment system and provides examples of ways in which planning and assessment information can contribute to operational decision making. The examples are drawn from experience but are hypothetical in that they are amalgams of several projects which have been modified for purposes of illustration.

The sequence of activity descriptions cuts across Federal and project levels paralleling the flow of activities shown in Figure 5 as follows:

1. Program design (Federal level).
2. SWE requirements determination (project level).
3. Institutional description (project level).
4. Project planning (project level).
5. Resource allocation (Federal level).
6. Defining project accomplishments (project level).
7. Review (Federal level).

Each of these areas of activity may make either a direct or an indirect contribution to the achievement of Federal legislative goals and may contribute insights which can enhance other programs and projects.

Program Design

(Federal Level)

The Federal manager is concerned with planning and assessment during program design, including continual updating and upgrading, in two different ways:

- Carrying out preliminary assessment through:
  - (a) Cross-comparison of different elements of the program design to insure that they are compatible and lead to an effectively integrated total design.
  - (b) Comparison of design elements with Federal legislative goals and available background data and assumptions to insure that the evolving design is consistent with its intended accomplishments.
- Establishing, as an integral part of the design effort, plans for assessment during subsequent program operations.

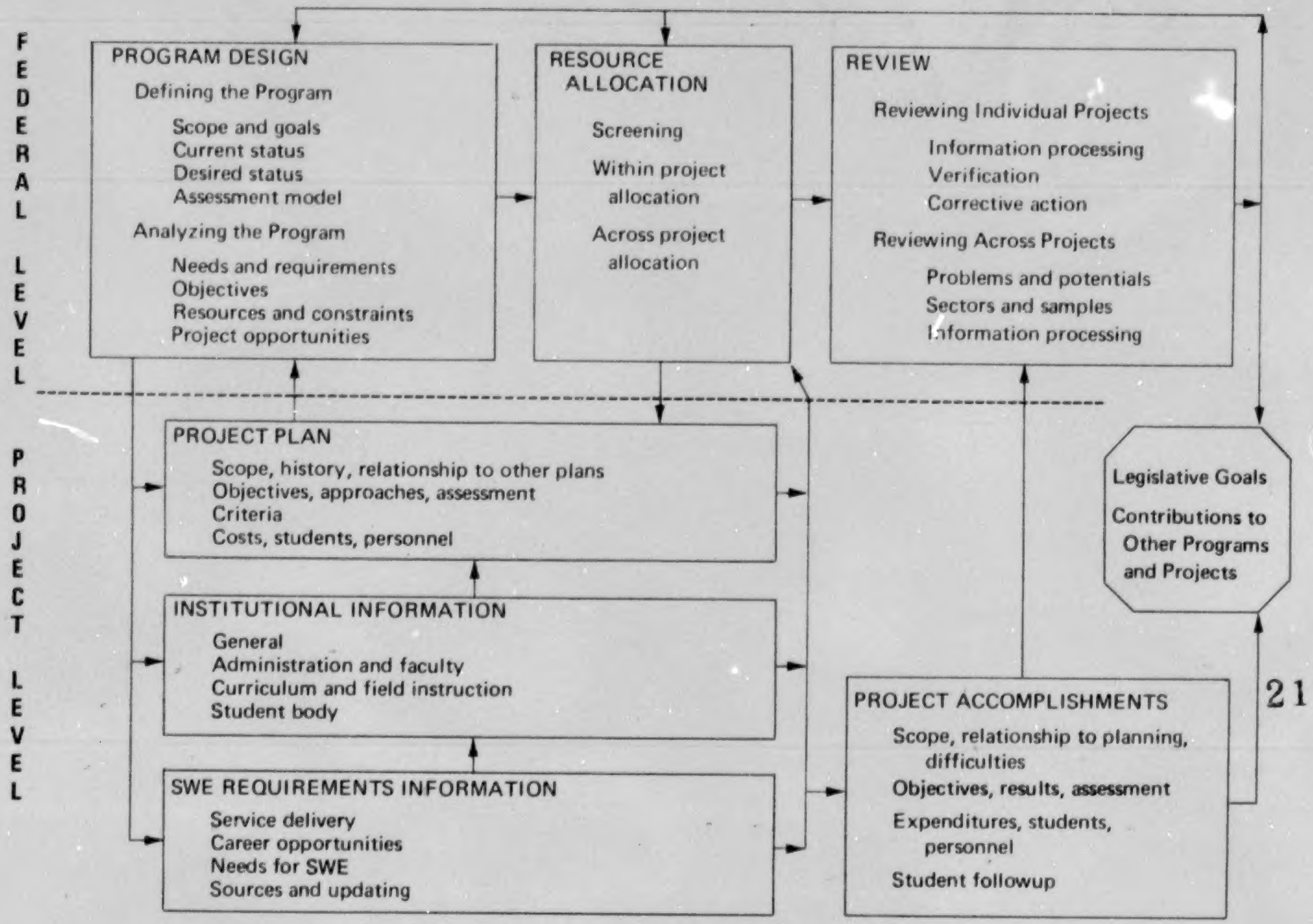
FEDERAL LEVEL
PROGRAM DESIGN
Defining the Program
Scope and goals
Current status
Desired status
Assessment model
Analyzing the Program
Needs and requirements
Objectives
Resources and constraints
Project opportunities
RESOURCE ALLOCATION
Screening
Within project allocation
Across project allocation
REVIEW
Reviewing Individual Projects
Information processing
Verification
Corrective action
Reviewing Across Projects
Problems and potentials
Sectors and samples
Information processing
PROJECT LEVEL
PROJECT PLAN
Scope, history, relationship to other plans
Objectives, approaches, assessment
Criteria
Costs, students, personnel
INSTITUTIONAL INFORMATION
General
Administration and faculty
Curriculum and field instruction
Student body
SWE REQUIREMENTS INFORMATION
Service delivery
Career opportunities
Needs for SWE
Sources and updating
PROJECT ACCOMPLISHMENTS
Scope, relationship to planning, difficulties
Objectives, results, assessment
Expenditures, students, personnel
Student followup
Legislative Goals
Contributions to Other Programs and Projects

Figure 5. Schematic Flow of Assessment Activities

The planning and assessment system provides the Federal manager two aids for carrying out preliminary assessment activities as part of defining and analyzing the program:

- The *Handbook of Fundamental Assessment Concepts* provides a general model of assessment which can help the Federal manager to structure his efforts in assessing preliminary design and in planning later assessment.
- The *Manual for Federal Program Managers* identifies types and sources of information which should be considered in assessment of preliminary program design and planning for assessment.

In addition, the planning and assessment system facilitates the Federal manager's preliminary phases of program design and project planning by providing a format for planning which will support efficient communication between Federal and project personnel.

Even during the discussion of informal plans, the emphasis in the planning and assessment system on explicit objectives provides a convenient basis for establishing the appropriateness of a particular tentative project plan.

Example: A Federal manager analyzes Title VII, Section 707 of the Social Security Act as an aid to defining what the 707 program is all about. Additionally, he reads and interprets memoranda and directives from higher level management. Such information provides him with insights into how the set of projects falling within his purview should contribute to global objectives and goals defined for 707. It also enables him to make tentative assessment of the nature of social changes implied by overall program scope and goals.

In this case, the objectives spelled out in legislation and higher level management communications imply:

- Increasing the total number of social workers in the field since case loads in most social welfare agencies are prohibitively high.
- Attempting to introduce greatly increased numbers of minority group members into social work education.
- Creating a more even geographic distribution of institutions offering social work education by promoting their creation in areas where no such capabilities exist.

In looking at the geographic or operational areas which are his responsibility, the Federal manager examines in greater detail the particular needs and requirements of his portion of the Program. In this analysis, the following factors emerge:

- From a set of recently completed SOCIAL WORK EDUCATION REQUIREMENTS FORMS, he finds corroborating information that the most severe problem in his area is a general lack of qualified manpower for providing social services.
- In one State in his area, no accredited social work education program exists.

- From State social welfare agency statistics, he discovers that turnover rates in urban areas of his area have been steadily increasing over the past five years.
- State social welfare agency opinion/attitude surveys of social workers indicate that the major reasons for high turnover rates are:
  - A form of "culture shock" which takes place when recent graduates are exposed to real-world living conditions and life styles of disadvantaged groups.
  - Unwillingness of recent social work education graduates to put up with the paperwork and pervasive bureaucracy which characterize many public welfare agencies.
- From a social work education graduate follow-up study conducted by a local university, he finds that a relatively high proportion of its SWE graduates move away from the immediate area, even though recent job surveys of the region indicate a substantial number of seemingly attractive job openings.

On the basis of information such as that presented above, the Federal manager sets a number of objectives for his portion of the Program, including:

- Doubling the number of social work education graduates from institutions in his area over the next four years.
- Reducing by 20 percent the average turnover rates for public social welfare agencies by making graduates more aware of the occupational and social contexts of their future work.
- Tripling the number of minority group students in SWE programs over the next four years.
- Supporting the creation of social work education programs in areas where such capabilities are severely limited or lacking.

In translating these objectives into the framework provided by the planning and assessment system, the Federal manager decides that effort must be placed within the following broad areas of objectives:

- ○ CURRICULUM, with particular emphasis on:
  Add or Enrich SWE Opportunities Other than Field Instruction (Primary Objective A-1).
  Add or Enrich Field Instruction (Primary Objective A-2).
  Add or Enrich Emphasis on Specialized Programs and/or Problems (Primary Objective A-4).
  Add Dimensions to Social Work Roles (Primary Objective A-5).
- ○ STUDENTS, with particular emphasis on:
  Make Openings for Minority Students (Primary Objective B-2).

Having decided upon needed courses of action to alleviate deficiencies in SWE and in social and rehabilitation services in general, the "sense" of these decisions might be communicated to individuals and institutions capable of bringing educational and technical resources to bear on the problems by, for example,

- Discussing important development areas in telephone communications with educators.

- Emphasizing the selected areas of objectives in critiques of informal proposals or descriptions of possible projects.
- Providing memoranda on areas of social work education supportable by SRS funds.

SWE Requirements Determination

(Project Level)

In the SWE REQUIREMENTS FORM, project personnel are provided an opportunity to relate social work education at their institution to the delivery of social welfare and rehabilitation services in the region served by their graduates, to career opportunities for their graduates, and to the apparent need for social workers in the region of their institution. The sources used by project personnel for making SWE requirements estimates and the currency of information going into such estimates can tell much about the place of project personnel in the network of social work education information. The SWE requirements information can reveal much about the relationship of social work education at a project institution and goals of the grant program. For example:

> *Project A at University A*. The completed SWE REQUIREMENTS submitted by University A, which has a relatively small undergraduate program in social work education, centers on justification for expanding the program. Included in the information which the potential project director submits through the SWE REQUIREMENTS FORM are the following items:
>
> - Based on a one-year old State survey of social welfare and rehabilitation manpower, the large State in which University A is located has only three other institutions offering an accredited SWE program, only one of which is a graduate school. In total, these schools annually produce 200 graduates at the bachelor's level, 35 at the master's, and 15 at the doctoral level (SWE REQUIREMENTS FORM, Item 8).
> - In the county in which University A is located, less than 40 percent of the personnel in State-related social welfare and rehabilitation agencies have had formal SWE training, as reported in a study conducted by the university five years ago (SWE REQUIREMENTS FORM, Item 7).
> - The one-year old State survey of social welfare and rehabilitation manpower also identified 409 open positions in social welfare and rehabilitation agencies throughout the State, 142 of which required advanced degrees in social work education (SWE REQUIREMENTS FORM, Items 6 and 13).
> - Although more than 35 percent of State-related social welfare and rehabilitation clients are members of ethnic minority groups, minority group representation among both social workers and social welfare workers in public social welfare and rehabilitation agencies in the State is less than ten percent, as reported in a two-year-old OEO study (SWE REQUIREMENTS FORM, Items 16 and 4).

- Various two-to-three-month-old newspaper articles reported that in one large urban area of the State, a powerful welfare rights organization has demanded that the number of minority group personnel employed in the State public assistance program be increased by 150 percent (SWE REQUIREMENTS FORM, Item 16).
- Less than 50 percent of the SWE graduates of institutions within the State remain in the State after graduation. This is a personal estimate of a potential project director, supported by informal surveys of other institutions (SWE REQUIREMENTS FORM, Item 9).

Project B at University B. University B has well-established and accredited undergraduate and graduate SWE programs. Since he has been working under SWE grant for the past year, project director B uses the SWE REQUIREMENTS FORM to support continuation of the project. Much of the SWE REQUIREMENTS information is included by reference to his earlier FORM. As preparation for some intentions which he has for altering the thrust of his project, he includes some new information:

- The majority of SWE graduates entering social work settings in the State in which University B is located have difficulty adjusting to administrative and supervisory positions, as reported in a two-year-old survey conducted by the university (SWE REQUIREMENTS FORM, Item 13).
- Newly placed social workers often have great difficulty in understanding the needs and drives of their clients. This problem is remedied by applying a particular type of sensitivity training. The source of this information is a two-year-old paper written by the originator of the sensitivity training technique (SWE REQUIREMENTS FORM, Items 4 and 5).

Institutional Description

(Project Level)

The INSTITUTIONAL INVENTORY FORM gives project personnel an opportunity to provide some very general information about their institution and to describe their social work education program according to standard categories which cover administration, faculty, curriculum, field instruction, and the body of students receiving social work education. The information recorded in the INSTITUTIONAL INVENTORY FORM provides a useful background against which to evaluate plans. For example:

Potential Project A. University A is a school of about 10,000 full-time students, 1,500 of whom are engaged in graduate work (INSTITUTIONAL INVENTORY FORM, Item 1).

Project B. University B is a school of about 17,000 full-time students, of whom 2,200 are engaged in graduate work (INSTITUTIONAL INVENTORY FORM, Item 1). The institution offers both a two-year associate degree in social welfare and a baccalaureate in social work, but has no graduate program in SWE (INSTITUTIONAL INVENTORY FORM, Item 4.) The undergraduate program has been in full operation for 20 years (INSTITUTIONAL INVENTORY FORM, Item 13). Project director B indicates that the SWE program at his university has a strong emphasis on human growth and behavior, socio-cultural environment, field instruction, and social work principles and practices (INSTITUTIONAL INVENTORY FORM, Items 19 and 20). Of 25 faculty members in the department of social work, 11 have doctorates (one in social work), 13 have master's degrees (three in social work), and one has a bachelor's degree in social work (INSTITUTIONAL INVENTORY FORM, Item 5). Three of the faculty members are black, and one is Chicano (INSTITUTIONAL INVENTORY FORM, Item 6).

Project Planning

(Project Level)

The PROJECT PLAN FORM is a key component of the planning and assessment system. It provides a structured basis for describing project plans. The kinds of information needed in a plan are specified in detail and include:

- Background information such as the scope of the project, something of the history of how the plan came into being, and the relationship of the proposed plan to past or future plans.
- The specific objectives scheduled for accomplishment within the scope of the plan, approaches and activities programmed to accomplish objectives, and the kinds of assessment intended to demonstrate achievement of each objective.
- Criteria the project personnel intend to apply in making judgments about the extent to which planned accomplishments are actually achieved.
- Standardized quantitative data concerning costs, students, and project personnel involved in the plan.

Although standard categories of information are specified for the plan, project personnel have great freedom in designing their own plans and describing them in their own terms. Emphasis is on establishing clarity of intent, in helping project personnel to specify the accountability *they* think will be appropriate in judging results. For example:

Potential Project A. Potential project director A indicates in the PROJECT PLAN FORM that his proposal for a project has primary objectives falling in the following planning and assessment system BROAD OBJECTIVE AREAS (PROJECT PLAN FORM, Item 1):

○ CURRICULUM (PROJECT PLAN FORM, Item 5 (A)), where he proposes to:

  – Expand the existing undergraduate SWE program to serve 40 more students per year at each program level.

- Institute a "carousel" field experience program composed of ten "Field Learning Centers." During the last semester of their undergraduate careers, upper-level undergraduate students would spend two weeks at each center. These would be operated in conjunction with a separate social welfare or rehabilitation agency, and would be selected so as to expose students to as many types of field experience as possible. Potential project director A expects benefits of this endeavor to be greatest in the areas of:
    - (1) Increased sensitivity to needs of social welfare and rehabilitation clients.
    - (2) Increased capability of SWE students in making valid career decisions.
- Evaluate the "Field Learning Center" using a multifaceted approach and at least the following evaluation techniques:
    - (1) A review panel, consisting of SWE faculty members from all other institutions within the State having an SWE program.
    - (2) A one-year, one-shot experimental evaluation, in which half of the senior class would be exposed to traditional field instruction and the other half to the "Field Learning Center" type. Evaluations would be primarily attitudinal, with evaluation instruments being developed by a joint effort of the SWE faculty and specialists on tests and measurements and survey sampling from the psychology department of University A.
    - (3) Longitudinal studies of students exposed to different types of field experiences. Graduates would be surveyed for a period of three years following graduation, with particular emphasis on job satisfaction and graduate perceptions of efficacy of their field learning experiences.

Project director A specifies the temporal sequence as:

- *First year:* establish cooperative arrangements with social welfare and rehabilitation agencies; develop course strategy and content.
- *Second year:* initiate utilization of "Field Learning Centers" for half of the senior class; refine course strategy and content; run experiment on two halves of the senior class.
- *Third year:* initiate utilization of "Field Learning Centers" for the entire senior class; initiate longitudinal study.
- *Fourth year:* continue "Field Learning Center" utilization; continue longitudinal study.

In addition to the innovation in field experience, project director A proposes to institute a special class for retraining active social work personnel in modern techniques.

○ STUDENTS (PROJECT PLAN FORM, Item 5 (C)). Of the 80 new students to be recruited each year for the expanded SWE program, no fewer than 20 would be recruited from ethnic and minority groups. Project director A indicates that, once they are initiated, student and faculty members serving in the "Field Learning Centers" (which will be widely dispersed throughout the area from which University A draws most of its students) will serve as recruiters for limited periods of time. They will travel to local high schools, providing information on educational opportunities, entrance standards, scholarship opportunities, etc., in the department of social work at University A.

- ○ FACULTY (PROJECT PLAN FORM, Item 5 (D)). Five faculty members are to be added over the course of the project to handle the expanded number of SWE students and to assist in the development and implementation of innovative approaches within the SWE curriculum.

Project B. Project director B indicates that during the second year his project will attend to the following objectives:

- Hire two faculty members, one black and one Chicano.
- Increase recruitment to allow for expanding SWE program by 50 students per year.
- Expand field instruction to include cooperative arrangements with two additional social welfare and rehabilitation agencies.

Project director B's intentions with respect to these objectives remain unchanged, but he proposes three additional objectives for the second year, grouped in the following BROAD OBJECTIVE AREAS:

- ○ CURRICULUM (PROJECT PLAN FORM, Item 5 (A)) where he proposes:
  - – Addition of a course in "Theory and Practice of Government-Related Social Welfare Institutions," which would attempt to expose SWE students to real-world analogs of actual social welfare and rehabilitation agency operations, and to explore the dynamics of the process by which these agencies have come to exist as they are. It would also expose students to the bureaucratic concomitants of these government-related agencies and attempt to ameliorate adverse graduate reaction to them by illustrating the social and governmental factors which demand their existence.

Project director B specifies the temporal sequence as:

  - – *Second year:* detailed analyses of the facets of working in government-related social welfare and rehabilitation agencies which most disturb recent graduates and of the factors influencing the development of these facets.
  - – *Third year:* development of course strategy and content and preliminary try-out and revision in the second semester of the year.
  - – *Fourth year:* full implementation of the course.

Project director B specifies further the addition of a sensitivity training course in which in-depth role playing would expose students to problems encountered in social welfare and rehabilitation agencies and in the lives of clients. The first year would involve course design, with the course being implemented during the following year.

- ○ STUDENTS (PROJECT PLAN FORM, Item 5 (C)). Project director B proposes to institute a computer-based job selection system. It would match student occupational priorities and preferences to characteristics of jobs in the area. A computer already installed at University B would be used for processing, but support is required for system design and programming efforts.

Project director B thinks that his first objective to add a course in "Theory and Practice of Government-Related Social Welfare Institutions" best fits the PRIMARY OBJECTIVE of ADD OR ENRICH EMPHASIS ON SPECIALIZED PROGRAMS AND/OR PROBLEMS. In the set of ACHIEVEMENT STEPS associated with this PRIMARY OBJECTIVE (PROJECT PLAN FORM, Item 5, (A-4)), he places a "73" in the undergraduate column for ACHIEVEMENT STEPS "a" and "b," a "74" beside the "c," "d," and "e" ACHIEVEMENT STEPS, a "75" beside the "f" ACHIEVEMENT STEP, and a "76" beside the "g" and "h" STEPS. (He also decides on ACHIEVEMENT STEPS for all of his other objectives.)

Defining Project Accomplishments

(Project Level)

The PROJECT ACCOMPLISHMENT FORM closely parallels the structure of the PROJECT PLAN FORM. This should facilitate the ability of both project and Federal personnel to track the transition from plans to actual accomplishments and to clarify the nature and basis of deviations from expectations. For example:

Project A. Project A has succeeded very well, with the project manager reporting that it is his intention to proceed over the next three years with only minor changes in his schedule, objectives, approach, and staffing. He notes the following progress:

- ○ CURRICULUM (PROJECT ACCOMPLISHMENT FORM, Item 6 (A)).
  - Forty-three freshman students declared their intention to obtain a degree in social work.
  - Cooperative arrangements have been made with 10 social welfare and rehabilitation agencies in preparation for establishment of "Field Learning Centers." The course strategy and content have been defined and instructional/working materials have been almost completed. The multi-institution review panel has examined all products and found them satisfactory.
- ○ STUDENTS (PROJECT ACCOMPLISHMENT FORM, Item 6 (C)).
  - Of the 43 SWE declared freshmen, 23 are from minority populations, including 18 black students, 4 Chicanos, and one Puerto Rican.
- ○ FACULTY (PROJECT ACCOMPLISHMENT FORM, Item 6 (D)).
  - Two of the five faculty members have been added. This is as planned, since hiring of additional faculty members awaits advancement of the expanded freshman class to higher educational levels.

Project director A indicates that all of his objectives have been addressed at the ACHIEVEMENT STEPS originally stated.

Project B. Project director B reports that he sees no significant departure from his original plans.

- FACULTY (PROJECT ACCOMPLISHMENT FORM, Item 6 (D)).
  - He has hired both faculty members, and the second year addition of 51 new students to the SWE program has been attained.
- CURRICULUM (PROJECT ACCOMPLISHMENT FORM, Item 6 (A)).
  - Expanded field instruction is proceeding with some departure from original plans in the nature of the cooperative arrangements between University B and the social welfare and rehabilitation agencies involved.
  - Project director B also reports that the creation of the computerized job finding system has worked out extremely well. He indicates that in the year previous to the creation of the system, only 28 out of the 91 SWE graduates took jobs in the geographic area surrounding University B, while with the new system 47 out of 97 graduates took such jobs. Some collateral benefits also emerged from this effort. In analysis of responses to the job-matching questionnaire, it was found that many of the new jobs which graduates chose were relatively low-paying and ill-advertised, but students characterized them as "relevant and self-rewarding" positions.

Understanding of intermediate and long-range effects of project activities can sometimes be increased through follow-up contact with former students. Consequently, a sample EDUCATIONAL FOLLOW-UP QUESTIONNAIRE is included in the *Manual for Project Managers.*

Federal Review *

The review of individual projects by the Federal manager is supported by the INDIVIDUAL PROJECT REVIEW SUMMARY FORM. This FORM, which handles both planning and achievement information, provides for: brief formatted summarization of standard quantitative data on students, faculty, and costs; brief formatted summarization of standard criterion demonstrations of achieved objectives; and formatted ratings of the extent to which project objectives in each area are responsive to requirements and plans are sufficient to support achievement of objectives in each area. The formatted summarizations help to free the Federal manager for concentration on unique aspects of the project.

For example, for each project for which he is responsible, the Federal manager fills out at least an annual INDIVIDUAL PROJECT REVIEW SUMMARY. He may also complete the form on the basis of interim PROJECT ACCOMPLISHMENT FORMS submitted for a project.

> *Project A.* Upon receipt of the PROJECT ACCOMPLISHMENT FORM from project director A, the Federal manager completes the Accomplishments (A) sections of the INDIVIDUAL PROJECT REVIEW SUMMARY on which he has already recorded the Planned (P) data. He notes that project A has attained virtually all of its objectives, and that in some

---

*No Federal level forms included.

categories, notably the number of students and graduates affected by the project and certain types of minority students (INDIVIDUAL PROJECT REVIEW SUMMARY, Students), it has actually exceeded its goals. The Federal manager can find no serious failures or problems in the project. He does note, however, that project director A has indicated that some of the newly recruited minority students are having academic problems, particularly in the area of communication skills. (PROJECT ACCOMPLISHMENT FORM, Item 7 (F)).

Because of a generally increased effort at recruiting minority and/or disadvantaged students, however, University A is about to greatly expand and intensify its efforts in helping educationally disadvantaged students. Project director A hopes that the new "preparatory English" courses and tutors which will accompany the program will provide sufficient remedial support to those SWE students in need of them. He further states that, in his opinion, successful inclusion of minority students is so important that if the university-wide program is not sufficient, the department of social work may have to take appropriate steps on its own.

The Federal manager notes in the "comments" section concerning "students affected" (INDIVIDUAL PROJECT REVIEW SUMMARY), that project A has been particularly successful. In addition, he indicates in the Interpretive Summary (INDIVIDUAL PROJECT REVIEW SUMMARY), two areas of the project which will bear close attention in the following year, assuming that project A is again funded:

- First year implementation and evaluation of the "Field Learning Centers," which will be quite indicative of the success or failure of this particular component of project A.
- Success or failure of the remedial skills program of University A.

Project B. The Federal manager fills out an INDIVIDUAL PROJECT REVIEW SUMMARY for project B in the same manner as he did for project A. He identifies the year in which Achievement Steps have been met by entering the grant year of achievement in the (A) portion of the objective areas for which the project director had indicated plans. By comparing plans and achievements, he notes that project B has fulfilled most of its proposed activities. In the development of its field instruction, however, the Federal manager notes that project director B had planned to have students actually serving as interviewers at a nearby social welfare agency, but that the agency had balked at this (INDIVIDUAL PROJECT REVIEW SUMMARY). Project director B has made no suggestions regarding suitable replacement activity for the students (PROJECT ACCOMPLISHMENT FORM, Item 7 (E), 7 (F)).

Establishment of the computerized job matching system has proceeded quite well. The Federal manager notes the increase in student placements and the unanticipated results of the survey of student placements (PROJECT ACCOMPLISHMENT FORM).

In the Interpretive Summary (INDIVIDUAL PROJECT REVIEW SUMMARY) for Project B, the Federal manager makes two notes, indicating that:

- The situation concerning the lack of interviewer field experience be discussed with project director B. The Federal manager thinks that introduction of this type of field experience is important to the success of the expanded development of field instruction at University B, and that some realistic analog of the type of experience originally planned must be included if the development is to proceed effectively.
- The computerized job matching system is working well, and aspects of that system may be generalizable to other institutions.

The review of multiple projects by the Federal manager is supported by the CROSS-PROJECT REVIEW SUMMARY FORM, which closely parallels the structure of the individual review form but provides for the consolidation of standardized information from more than one project. The consolidation of standard data can be for groups of projects variously defined and selected. Again, the formatted summary of standard data permits the Federal manager to concentrate on unique aspects of results. It may also provide a starting point for greater in-depth and non-standard reply. Additionally, the Interpretive Summary portion of the CROSS-PROJECT REVIEW SUMMARY provides a means for the Federal manager to express his perceptions of the most important program aspects of the set of projects represented on the summary form. For example:

> The Federal manager initiates overall project review by transferring totalled information from the INDIVIDUAL PROJECT REVIEW SUMMARIES from all projects within his purview to a CROSS-PROJECT REVIEW SUMMARY FORM. He uses this information to: (1) check the progress of his portion of the program with respect to goals he had established earlier; and (2) identify aspects of his portion of the program which might require a more detailed study. Upon completion of the information transfer process, he notes that:
>
> - The total number of "declared" students actually affected in the entire program is 1,478, as compared to a planned total of 1,594 (CROSS PROJECT REVIEW SUMMARY). The Federal manager interprets this 93 percent fulfillment of plans as an indication that his original goal of adding to total social work manpower is being fairly well addressed by the program.
> - The two most numerous minority groups in the geographic area served by projects for which the Federal manager has responsibility are blacks and Puerto Ricans. The fulfillment ratios for these two groups are 116/209 (56 percent) and 45/84 (54 percent), respectively. These relatively low percentages indicate to him that his goal of increasing minority group participation in SWE programs will not be attained if current trends continue. This problem induces him to examine in greater detail the dynamics of successful recruitment of minority students in the projects for which he has responsibility.
>
> The Federal manager refers to both of these phenomena in the interpretive summary of the CROSS-PROJECT REVIEW SUMMARY.
>
> While conducting individual project review, the Federal manager notices a possible interaction between type of project and success in recruiting

minority students. He selects six projects with plans to "Make Openings for Minority Students" (Primary Objective B-2)—three involving consortia of three or more institutions, and three involving only one institution. He sums information from each set and places it in the appropriate Items of two CROSS-PROJECT REVIEW SUMMARY FORMS. Results show that the consortia group has recruited 37 out of 51 black students (73 percent) and 19 out of 33 Puerto Rican students (58 percent). The single institution group has successfully recruited 23 out of 49 black students (47 percent) and 14 out of 29 Puerto Rican students (48 percent). The Federal manager interprets the results as showing that consortia might be more effective than individual schools in recruiting minority students, though the difference is by no means large enough to make the determination with a high degree of confidence. In the Interpretive Summaries of the CROSS-PROJECT REVIEW SUMMARIES he makes note of his analysis and suggests that a more comprehensive analysis, perhaps covering the entire Program, might be warranted. He has not quantitatively supportable insight into the causes behind the results of his analysis, but notes that the following factors may have contributed:

- Synergistic effects related to the existence of a variety of coordinated SWE styles and programs within a relatively constrained geographic area.
- Quasi-competitive spirit shared by members of the consortia, resulting in increased motivation to perform well.
- Information shared among member institutions concerning scholarships, SWE program characteristics and emphases, etc.

The Federal manager also makes a note to include a discussion of his analysis in his yearly report to higher-level management. In response to a request from his superiors, he examines the effect of different university emphases concerning the role of the social worker in society, on social worker dropout rates, and job satisfaction. To make his investigation, he relies heavily on three types of information.

- Results of EDUCATIONAL FOLLOW-UP QUESTIONNAIRES used by institutions with which he has contact.
- Funded institutions' reported emphases on SWE content areas (INSTITUTIONAL INVENTORY FORM, Items 19 and 21).
- His own personal knowledge about SWE programs at various institutions gained from his experience as a Federal manager.

Using this information, he identifies three general types of SWE program emphases:

- *Organization-centered,* which stresses the role of the social worker in social welfare agencies and rehabilitation agencies.
- *Client-centered,* which stresses the role of the social worker as a helper of people, and concentrates on human development and psycho-sociological factors.
- *Laissez-faire,* which attempts to emphasize no particular role, but exposes its students to as wide a variety of information about all aspects of potential social worker operations as is practical.

> The Federal manager separates all of the projects which he currently monitors or which have been recently completed into these three categories. He then analyzes the results of each set of EDUCATIONAL FOLLOW-UP QUESTIONNAIRES. His findings indicate that job turnover (as measured by the number of jobs per year since graduation) is slightly, but not dramatically, higher for the "client-centered" group than for either of the other two groups, which were about equal. He further indicates that any attempt on his part to accurately assess causation would require more detailed information than is readily available. He does, however, report the conclusions of the State social welfare agency attitude/opinion survey which he used in his program design effort, and notes that if these conclusions are accurate, it is possible that students inadequately prepared for the realities of organizational existence may become quickly disillusioned when exposed to them as social workers.

Review by the Federal manager may have implications for legislative goals by suggesting more effective programming efforts. It may yield insights that will be helpful to non-SRS projects and programs. A review of planning information submitted by projects should be a part of resource allocation, supplemented by a review of achievement information where continuation efforts may be involved. Finally, review within the structure of the planning and assessment system and supplemented by additional knowledge and data can result in fundamental improvements in design of the program.

APPENDIX A

EDUCATIONAL FOLLOW-UP QUESTIONNAIRE

(Institution's Letterhead)

(Date)

(Inside Address)

Dear

We at (name of institution) are constantly trying to make the educational opportunities we provide more relevant and useful to our students. Your insights in evaluating your educational experiences will help us in planning more effective programs of education.

Please complete the enclosed questionnaire and return it to me by (date) so it may be used in a current study. Your participation is greatly appreciated. Please be assured that your response will be held in strictest confidence.

Sincerely,

(Name and Title of Correspondent)

EDUCATIONAL FOLLOW-UP QUESTIONNAIRE

Name : ______________________ Marital Status : __________ Sex : _____

Address : ______________________________ Zip Code : ________

Ethnic Background (American Indian, Black, Oriental, etc.) : ________________

In questions 1 through 6, use the following ratings:

1 — 2 — 3 — 4 — 5

Almost None … Exceptionally Great

	SKILL AREAS											
	CLERICAL – handling routine paper work	INFORMATION – locating and obtaining information	COMMUNICATING – speaking and writing	PERCEIVING – listening, watching and reading	MATHEMATICAL – using arithmetic, statistics or other mathematics	ANALYSIS – breaking problems into manageable units	SYNTHESIS – generating creative decisions and solutions	PERSONAL I – interacting with colleagues	PERSONAL II – interacting with clients	SUPERVISING – making assignments, reviewing performance	INSTRUCTING – facilitating the learning of others	ADMINISTRATION – obtaining, organizing, allocating, expending resources
1. Rate the degree to which you judge you have **skill** in each of the areas shown to the right.												
2. Rate the **importance** of each skill area shown at the right for your chosen **career**.												
3. Rate the **importance** of each skill area shown at the right to your **non-occupational** experiences.												
Voluntary community service/citizen participation												
Self-fulfillment leisure time activities												

4. Describe your **education** since high school (from earliest to most recent). Rate the **contribution** of each experience to each skill area shown at the right.

Dates		Degree	Area of Emphasis	Institution	CLERICAL	INFORMATION	COMMUNICATING	PERCEIVING	MATHEMATICAL	ANALYSIS	SYNTHESIS	PERSONAL I	PERSONAL II	SUPERVISING	INSTRUCTING	ADMINISTRATION
From	To															

In questions 1 through 6, use the following ratings:

1 2 3 4 5

Almost None — Exceptionally Great

	SKILL AREAS											
	CLERICAL — handling routine paper work	INFORMATION — locating and obtaining information	COMMUNICATING — speaking and writing	PERCEIVING — listening, watching, and reading	MATHEMATICAL — using arithmetic, statistics or other mathematics	ANALYSIS — breaking problems into manageable units	SYNTHESIS — generating creative decisions and solutions	PERSONAL I — interacting with colleagues	PERSONAL II — interacting with clients	SUPERVISING — making assignments, reviewing performance	INSTRUCTING — facilitating the learning of others	ADMINISTRATION — obtaining, organizing, allocating, expending resources
5. List specific courses you have had since high school which you feel have had the greatest influence on your capabilities. Rate the contribution of each course to each skill area shown at the right.												

6. Describe your occupational experience since high school (earliest to present). Include significant periods of full-time homemaking, job seeking, military service, etc. Omit jobs unrelated to your educational/professional area held primarily as a source of educational funds. Break jobs into major assignments having significant differences in skill requirements. Rate the importance of each skill area shown at the right to each occupational experience.

Dates		Income/Month															
From	To	Start	Most Recent	Experience													

7. Since high school, have you ever participated in voluntary community service activities such as church, political organizations, youth groups, etc.?

☐ Yes ☐ No

If yes, please indicate when and what kind of community service activities you have engaged in and how your educational experiences prepared you for participation.

8. Is there any part of your education since high school which you feel has been outstandingly worthwhile?

☐ Yes ☐ No

If yes, please identify that part of your education and describe briefly for what activities and how it has been of particular value.

9. Are there any areas of skill or knowledge in which you feel your education has been especially inadequate?

☐ Yes ☐ No

If yes, please identify the occupational area and activities and indicate the kind of educational experience which you feel would have been most useful.

10. Is there any part of your education since high school which you feel has been a waste?

☐ Yes ☐ No

If yes, please identify that part of your education and describe briefly why you consider it not to have been of use.

---

11. Please use this space to provide any additional comments you wish to make relating your educational experiences to each other or to non-educational experiences.

Thank you for your time, thought, and effort.

APPENDIX B

SOCIAL WORK EDUCATION REQUIREMENTS FORM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service

SOCIAL WORK EDUCATION REQUIREMENTS FORM

Project Identification Information

I. Identification and Address of Applicant School (all applicable levels, e.g., department, school, division, campus, institution):

II. Project Title:

III. Level of Program (check all appropriate): Undergraduate______Graduate______

IV. Project Director (or person currently assigned project responsibility) (name, title, full mailing address, telephone number):

V. Person(s) Responsible for Completing This Form (omit if same as above; otherwise give name, title, full mailing address, telephone number):

VI. Signature and Title of Person Authorized to Sign for Institution:

________________________ ________________________
Signature Date

TABLE OF CONTENTS

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Introduction		13	
General Instructions		13	
Section I: Service Delivery Needs		14	
Adequacy of Social Work Education to Meet Needs	1	15	( )
Overburdened Areas of Social and Rehabilitation Services	2	16	( )
Needed Areas of Social and Rehabilitation Services	3	17	( )
Instructions – Items 4, 5		18	
Ethnic Background of Clientele Served by Graduates	4	19	( )
Problems of Clientele Served by Graduates	5	20	( )
Section II: Staffing the Services		21	
Agency Requirements for Academic Degrees	6	22	( )
Social Work Opportunities for Graduates	7	23	( )
Sources of Applicants for Social Work Positions	8	24	( )
Instructions – Item 9		25	
Geographic and Population Area Dispersion of Graduates	9	26	( )
Factors Enhancing Graduates' Obtaining Jobs	10	28	( )
Effectiveness of Graduates	11	29	( )
Section III: Employment and Career Characteristics of Graduates		31	
Program Emphasis of Agencies	12	32	( )
Variety of Jobs of Graduates	13	34	( )
Career Progression of Graduates	14	36	( )
Average Entry Salary of Graduates	15	38	( )
Career Prospects for Minority Group Students	16	39	( )
Influence of Graduates on Social Work Services	17	40	( )
Section IV: Report Augmentation		41	
Other Comments Related to Information Provided	18	42	( )
Plans for Augmenting Information Provided	19	43	( )

Introduction

The SOCIAL WORK EDUCATION REQUIREMENTS FORM is to be used by institutions applying for training grant funds available under certain Federal legislation. Where more than one institution is to be involved in a project, such as under a consortium arrangement, complete only one SOCIAL WORK EDUCATION REQUIREMENTS FORM and indicate specifically in the narrative the institutions referred to. Submit separate tabular data for each of the participating institutions as appropriate.

The SOCIAL WORK EDUCATION REQUIREMENTS FORM consists of 4 Sections covering 19 Items. The Table of Contents presents the titles of the Sections and the content of the Items subsumed under each Section. Throughout the SOCIAL WORK EDUCATION REQUIREMENTS FORM, the major area of each Section is discussed as a preface to the subsequent Items. Directions are provided as necessary for the completion of each Item..

General Instructions

A cross reference insert precedes the presentation of each Item. Categories "a," "b," "c" direct your attention to other Items found in this FORM and other FORMS to which the information requested may have some relationship. The initials SWER, II, and PP refer, respectively, to the SOCIAL WORK EDUCATION REQUIREMENTS FORM, the INSTITUTIONAL INVENTORY FORM, and the PROJECT PLAN FORM. This cross-referencing is provided to assist you in the preparation of this and other forms in relation to the project. Insert the number of CONTINUATION SHEETS you have used to discuss more fully the information requested in the Item noted. When you use a CONTINUATION SHEET for any Item, indicate this by placing the number of CONTINUATION SHEETS used in the parentheses opposite the title of the Item under the heading "CONTINUATION SHEETS USED" in the Table of Contents.

In some instances you will be asked to complete certain headings for tables. Furthermore, if your project and/or your program includes undergraduate and graduate program levels, please specify in your narrative the program level to which your narrative is directed. Please use any space in the Item before using a CONTINUATION SHEET.

In responding to the Items, please use whatever combination of formats (narrative, tabular, graphic) you think will best convey the information. The source of the information on which you base your replies should be indicated. Space is provided in Item headings to indicate the source and recency of your information and the program level(s) to which it applies. Do not hesitate to use informal sources or your own best judgment. When presenting judgmental information, you may wish to indicate whether you are reflecting the dominant opinion of your institution, of social welfare and rehabilitation agencies in your area, or your own opinion.

Section I
Service Delivery Needs

ITEMS 1, 2, 3, 4, 5

Items in this Section are addressed to overburdened and yet to be developed areas of social welfare and rehabilitation services as well as the percentage of social work education graduates who are or will be providing services to persons of specific ethnic groups with selected problems. Throughout this and all subsequent Sections, please use as your frame of reference the geographic and population areas to which your graduates go upon completion of their social work education program. Item 9 requests information in greater detail with respect to this geographic dispersion.

1. ADEQUACY OF SOCIAL WORK EDUCATION TO MEET NEEDS

a.	SWER FORM, ITEM(S) 2-17	c.	PP FORM, ITEM(S) 1, 2, 5, 16
b.	II FORM, ITEM(S) 5-26, 30, 31	d.	CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

1. Describe briefly your observations with respect to the current general adequacy of social work education to meet the needs in social work. Identify the major trends you anticipate over the next five years concerning this "need-adequacy" relationship and discuss this in terms of any implications for social work education at your school and the project you are planning.

Items 2, 3

The information requested in these two Items is inter-related. The first refers to overburdened areas of social services; the second to needed services.

In responding to these two Items, areas of social services should include references to (a) the population(s) at risk and (b) the particular service provided (or needing to be provided) to meet the needs of this population. The areas of social service should be located in terms of local, state, regional, and national levels.

---

2. OVERBURDENED AREAS OF SOCIAL AND REHABILITATION SERVICES

a. SWER FORM, ITEM(S) 3-5, 9, 12

c. PP FORM, ITEM(S) 1, 2, 5, 16

b. II FORM, ITEM(S) 17-26

d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

2. Describe any areas of social and rehabilitation services which are so seriously overburdened as to degrade the quality of service offered. Identify any implications these overburdened areas may have for social work education at your institution.

Overburdened areas of service should be discussed in terms of demands for services which cannot be met properly due to (a) scarcity of workers and/or limited capabilities of workers and (b) the way in which the services are organized and/or administered. Degrading of services may be discussed in terms of the quality and quantity of services offered with respect to previous level, intended level, or ideal level of service. This Item asks that the applicant discuss the services actually organized; Item 3 deals with services yet to be provided.

3. NEEDED AREAS OF SOCIAL AND REHABILITATION SERVICES

a. SWER FORM, ITEM(S) 4, 5, 9, 11,12, 17	c. PP FORM, ITEM(S) 1, 2, 5, 16
b. II FORM, ITEM(S) 15-26	d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

3. Describe any areas of social and rehabilitation services which are needed but are not being provided. Identify the ways these needed services might be provided by your social work education graduates. Identify any implications these needs may have for social work education at your institution.

Need for services should be discussed in terms of (a) the demand; (b) available alternatives; and (c) the criterion (or criteria) against which "need" is measured—ideal, provided by law, stipulated in agency policy, etc. Provision of these needed services by social work education graduates should be discussed in terms of (a) the reality of this being accomplished within given organizational structures to be created. Finally, the reasons for the absence of needed services should be addressed by the applicant, in the narrative.

Instructions

Items 4, 5

The information requested in these two Items is generated by examining the same clientele in terms of their ethnicity and the problem for which they are being served. The categorization of persons along the dimension of ethnicity usually leaves little in the way of ambiguity. People seeking help frequently have a multiplicity of problems. The term "person served" refers to a person to whom direct services are provided by your social work education graduate during the first year the graduate has been employed in a social work, social welfare, or rehabilitation agency. The "person" refers to the identified client only. If your graduates provide services indirectly through being involved in planning activities, then the persons who are thought to be the intended recipients of such services would be those to whom you would refer in your narrative.

The information requested in these two Items is for an approximation of the percentage of social work education graduates who provided (or who are expected to provide) services to clients categorized along the dimensions of ethnicity and problem. For example, if you graduated 40 bachelor degree level persons in 1972, use the number 40 as your base for estimating the percentages in Items 4 and 5. If 30 of these graduates are in entry positions in which they provide services to black clients, show "75%" opposite "Undergraduate degree" for the appropriate year (to be provided by inserting it in the space furnished) and under the column head of "Black." If you estimate that 20 of these same graduates are providing services to Chicano clients, show "50%" under that column heading. It is expected that the summation of percentages will exceed 100% inasmuch as many graduates will be serving more than one ethnic group clientele. The same will hold true for service provided for certain problems.

If possible, refer to both of the two most recent graduating classes and insert the appropriate year of graduation. In your narrative, please provide the number of graduates for whom your estimates are being made.

4. ETHNIC BACKGROUND OF CLIENTELE SERVED BY GRADUATES

a. SWER FORM, ITEM(S) 2, 3, 5, 9, 16
c. PP FORM, ITEM(S) 1, 2, 5, 16
b. II FORM, ITEM(S) 17-26
d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):
a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

4. Estimate the percentage of your social work education graduates who are in entry level positions in agencies serving a "significant" number of persons of the following groups: (please specify in your narrative your definition of the term "significant")

YEAR FOR WHICH ESTIMATE MADE	EDUCATIONAL LEVEL OF GRADUATES	CLIENT GROUPS SERVED									
		American Indian	Black	Chicano	Puerto Rican	Asian American	Appalachian	Other U.S.	Foreign-born	Unknown	Other (Specify)
19___	Undergrad Degree										
19___	Graduate Degree										
19___	Undergrad Degree										
19___	Graduate Degree										

Identify any implications this distribution may have for social work education at your institution.

5. PROBLEMS OF CLIENTELE SERVED BY GRADUATES

a. SWER FORM, ITEM(S) 2-4, 9, 11, 12 **c. PP FORM, ITEM(S)** 1, 2, 5, 16

b. II FORM, ITEM(S) 17-26 **d. CONTINUATION SHEET(S) USED** ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

5. Estimate the percentage of your social work education graduates who are in the entry level positions in agencies serving a "significant" number of persons with the following problems (please specify in your narrative your definition of the term "significant"):

YEAR FOR WHICH ESTIMATE MADE	EDUCATIONAL LEVEL OF GRADUATES	PROBLEM AREAS									
		Blindness	Drug Abuse	Retardation	Child Abuse	Child Neglect	Poverty	Physical Disability	Mental Illness	Learning Problems	Other (Specify)
19___	Undergrad Degree										
19___	Graduate Degree										
19___	Undergrad Degree										
19___	Graduate Degree										

Identify any implications this distribution may have for social work education at your institution. (NOTE: The list of problems presented in the above table is not exhaustive; if there are some problems which you think should be added, please insert them, provide the other information requested, and refer to this in your narrative.)

Section II
Staffing the Services

ITEMS 6, 7, 8, 9, 10

The basic theme of this Section is that of comparing social work education graduates with their counterparts lacking this particular type of academic and experiential preparation. The Items in this Section refer to several aspects of gaining entry to and holding jobs in social welfare and rehabilitation service agencies. Out of this limited overview emerges an analysis and discussion of the present and near future relationship between graduates from the applicant's social work education program and others who are competing for employment. As holds true for most of the Items in this Form, the implications of these analyses for social work education at the applicant's school is most important.

6. AGENCY REQUIREMENTS FOR ACADEMIC DEGREES

a.	SWER FORM, ITEM(S) 7-17	c.	PP FORM, ITEM(S) 1, 2, 5-7, 16
b.	II FORM, ITEM(S) 13-26	d.	CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. **SOURCE OF INFORMATION:**

b. **RECENCY OF INFORMATION:**

c. **PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:**

6. Describe *separately* the current and anticipated social welfare and rehabilitation agency requirements for academic degrees as they relate to your social work education program graduates and the geographic/population areas to which they disperse. Take different social work and rehabilitation settings into account. In your discussion of this, consider the following factors and use the alphabetic reference in your narrative:

a. Degree requirements for entry positions at different organizational levels.
b. Degree requirements for advancement within the agency organization.
c. Social work education degree requirements as compared with non-social work degree requirements.
d. Impact of inservice training and staff development activities on degree requirements.
e. Continuing education.

Identify any implications these will have for social work education at your institution.

7. SOCIAL WORK OPPORTUNITIES FOR GRADUATES

a.	SWER FORM, ITEM(S) 6, 8-11, 14-16	c.	PP FORM, ITEM(S) 1, 2, 5, 16
b.	II FORM, ITEM(S) 17-26	d.	CONTINUATION SHEET(S) USED ____

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

7. What are the social work career opportunities for your social work education graduates as compared with those for non-social work education graduates of your institution? Identify and discuss any implications these relative opportunities have for social work education at your institution.

Social work career opportunities refer to the number and quality of established (or likely to be established) entry positions in social work, rehabilitation, or social welfare together with the presence of additional and accessible vertically arranged positions that expose the occupant of these positions to increased professional career responsibility as well as access to positions lateral to these that enable the occupant to move toward his professional career objective(s).

The intent of the Item is to explore the extent to which career opportunities in social work may or may not be related to a graduate having had course work in social work education.

8. SOURCES OF APPLICANTS FOR SOCIAL WORK POSITIONS

a. SWER FORM, ITEM(S) 6, 9, 15, 16 **c. PP FORM, ITEM(S)** 1, 2, 5, 16

b. II FORM, ITEM(S) ______ **d. CONTINUATION SHEET(S) USED** ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

8. Identify the principal institutions whose graduates (or the principal sources for those who) compete for the same positions as your social work education graduates. Where appropriate, estimate the annual number of social work and non-social work education graduates at each degree level for each source named. Please specify the basis upon which you have identified these sources. Please refer only to information with respect to the year immediately following your students' graduation. What are the implications of this comparison for social work education at your institution?

Instructions

Item 9

This Item is designed to provide an informational base for your discussion of the geographical (in-State versus out-of-State) and population area (metropolitan-inner city-urban-rural) served by agencies hiring your social work education graduates at the time of their graduation. Provide this information only for social work degree levels offered by your institution to which your project has reference. The information requested with respect to dispersion is for the year following the respective granting of the degree to the graduate. A graduate is anyone receiving a degree awarded by the institution where a major or minor is granted in social work education during the academic year at your institution.

The definition of "metropolitan," "inner city," "urban," and "rural" is difficult in that no system of classification is acceptable for all purposes. The following are suggested only as guidelines to assist in the completion of this Item:

Metropolitan should be used when the population area predominantly served is that of a large city surrounded by suburbs and possible outlying undeveloped areas. More than one county may be considered as being within a metropolitan area.

Inner city should be used to designate a population residing in a ghetto area, core city area, or any other low socio-economic, high density, city area.

Urban is a broad term governing populations residing in cities possibly adjacent to suburban areas.

Rural should be used as a category for populations served who reside primarily in undeveloped areas, agricultural areas, etc.

The intent of Item 9 is to obtain information in a general sense about the population areas served graduates soon after they obtain their degrees and enter social work practice. In all instances, consider an employed graduate as one who is employed for thirty (30) or more hours in a social work or rehabilitation setting. If the applicant school has follow-up data on its graduates, reference to these data should be made in the narrative. (A copy of specific dispersion, geographic and/or population areas, may be attached to this Item.)

Orient your narrative to the past dispersion of your graduates (if this information is appropriate to your program) and to the anticipated dispersion. Include the bases upon which you anticipate a similar or changed pattern of such dispersion from what has been in the past.

9. GEOGRAPHIC AND POPULATION AREA DISPERSION OF GRADUATES

a.	**SWER FORM, ITEM(S)** 2-19	**c.**	**PP FORM, ITEM(S)** 1, 2, 5, 16, 21
b.	**II FORM, ITEM(S)** 9-12, 17-26	**d.**	**CONTINUATION SHEET(S) USED** ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

9. What has been and what do you anticipate as the dispersion of your social work education graduates at the time of their graduation with respect to (a) the population centers they will serve (b) in the states in which they will first be employed? What are the implications of these dispersions for social work education at your institution?

9. GEOGRAPHIC AND POPULATION AREA DISPERSION OF GRADUATES

Show the percentage of graduates who obtained employment in agencies In-State, Out-of-State, and in foreign locations:

LOCATION OF AGENCY IN WHICH GRADUATE FIRST EMPLOYED	SOCIAL WORK EDUCATION GRADUATES ACADEMIC YEAR 19___			
	Undergraduate Program		Graduate Program	
	Number	%	Number	%
In-State				
Out-of-State				
Foreign				

Estimate the percentage of your social work education graduates who are in agencies serving the following population areas:

LOCATION OF AGENCY IN WHICH GRADUATE FIRST EMPLOYED	SOCIAL WORK EDUCATION GRADUATES ACADEMIC YEAR 19___							
	Undergraduate Program				Graduate Program			
	Metro	Urban	Inner City	Rural	Metro	Urban	Inner City	Rural
In-State								
Out-of-State								
Foreign								

Number of graduates used as a basis for this information:

Undergraduate Program ____________ Graduate Program ____________

---

10. FACTORS ENHANCING GRADUATES' OBTAINING JOBS

---

a. SWER FORM, ITEM(S)	9	c. PP FORM, ITEM(S)	1, 2, 5-7, 8, 10, 16, 21
b. II FORM, ITEM(S)	6-9, 14-26, 31	d. CONTINUATION SHEET(S) USED	

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. **SOURCE OF INFORMATION:**

b. **RECENCY OF INFORMATION:**

c. **PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:**

---

10. Please describe the aspects of the social work education program at your institution which bear significantly on your graduates' ability to gain employment in social work.

This Item considers the particular experiences a graduate may have had in the course of his contact with social work education program that contributed to his success in obtaining employment in social work. The following list of points of reference is presented only as suggestive:

a. Faculty-student relationships (curricular and extra-curricular)
b. School-agency relationships (field work and non-field work)
c. School-community relationships
d. School-institution relationships
e. School-alumni relationships
f. School-NASW relationships
g. Placement services
h. Recruitment services
i. Financing, stipending, scholarship grants
j. Curriculum (field work and class work)
k. Characteristics of the administration, teaching staff, student body.

11. EFFECTIVENESS OF GRADUATES

a. SWER FORM, ITEM(S) 9, 17 **c. PP FORM, ITEM(S)** 1, 2, 5-7,8, 10, 16, 21

b. II FORM, ITEM(S) 17-26 **d. CONTINUATION SHEET(S) USED** ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

11. Please discuss the ways persons with social work education degrees from your program are or may be more or less effective in social work positions than those with non-social work education degrees at equivalent levels. What are the implications of this comparison for social work education at your institution?

This item considers the relative effectiveness of social work education graduates as compared with other graduates holding degrees at the same level. Although the concept "effectiveness" is elusive, the applicant is urged to relate to this aspect of social worker performance in terms which have particular importance to him. In order to assist in the development of the narrative, the following are presented as possible points of reference to different dimensions of "effectiveness":

a. *TIME*

Social worker performance at points of entry, after 6 months, at one year, etc.

b. *ACTIVITY*

Assumption of responsibilities
Record keeping, correspondence, preparing reports
Use of self in professional relationships with clients and colleagues
Locating, identifying, utilizing, and co-ordinating services
Assessing, planning, and executing professional intervention
Involving clients in problem solving
Evaluating own, collegial, client, and agency services
Utilizing research

c. *TARGET OF ACTIVITY*

Client, community, agency, profession, self, colleagues, etc.

Narrative:

11. EFFECTIVENESS OF GRADUATES (continued)

Narrative:

Section III
Employment and Career Characteristics of Graduates

ITEMS 12, 13, 14, 15, 16, 17

The Items in this Section relate more specifically to the graduates of the applicant's social work education program and their experiences with respect to the positions they assume initially in agencies, the salary they can expect to obtain, and the career opportunities available to them.

For the first two Items, agencies have been classified as Voluntary, or Governmental. Within these broad classifications, types have been organized around the target population or type of service offered. In Item 13 jobs have been organized in reference to a particular sort of activity usually associated with a position.

In all instances, the information for these Items is in reference to persons who are employed or who are seeking employment on a full-time basis, that is, for thirty hours (30) or more.

12. PROGRAM EMPHASIS OF AGENCIES IN WHICH GRADUATES ARE EMPLOYED

a. SWER FORM, ITEM(S) 2, 3, 5, 6, 9
c. PP FORM, ITEM(S) 1, 2, 5, 16
b. II FORM, ITEM(S) 17-26
d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

12. What are the program emphases of the agencies your social work education graduates may be expected to enter upon their graduation? What are the implications of this variety of program emphases for social work education at your institution?

If your estimates are based on past experiences for which you have student follow-up data, please include that information in your narrative. The following table should be used as a guide for your discussion of this Item. Insert under the degree level (AA, BA, MSW, DSW) the percentage of graduates that you expect will enter Voluntary agencies and Governmental agencies, respectively. For example, consider your BA graduates who you expect will enter Voluntary agencies. Sort them by percentage into the various program emphases you expect them to assume. Your sorting should add to 100%. Repeat the same process for those who you think will enter Governmental agencies.

VOLUNTARY AGENCY				PROGRAM EMPHASIS	GOVERNMENTAL AGENCY			
AA	BA	MSW	DSW		AA	BA	MSW	DSW
				Aged				
				Child Welfare				
				Community Planning Services				
				Corrections				
				Education				
				Family				
				Group Services				
				Legal Aid				
				Medical				
				Psychiatric				
				Public Assistance				
				Rehabilitation				
				Other (specify)				

12. PROGRAM EMPHASIS OF AGENCIES IN WHICH GRADUATES ARE EMPLOYED (continued)

Narrative:

SOCIAL WORK EDUCATION REQUIREMENTS FORM

13. VARIETY OF JOBS OF GRADUATES

a. SWER FORM, ITEM(S) 6, 7, 9, 14-16

b. II FORM, ITEM(S) 9, 17-26

c. PP FORM, ITEM(S) 1, 2, 5, 16

d. CONTINUATION SHEET(S) USED ________

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

13. What are the jobs your social work education graduates assume or may be expected to assume upon graduation? What are the implications of this distribution of jobs for social work education at your institution?

If your estimates are based on past experiences for which you have student follow-up data, please include that information in your narrative. The following tables should be used as a guide for your discussion of this Item. Insert under the degree level (AA, BA, MSW, DSW) the percentage of those graduates who have assumed or who may be expected to assume the positions listed in Voluntary and Governmental agencies, respectively. For example, consider your BA graduates who you expect will enter Voluntary agencies. Sort them by percentage into the various jobs you expect they will assume. Your sorting under that column should add to 100%. Repeat the same process for those BA graduates who you think will enter Governmental agencies.

VOLUNTARY AGENCY				JOB/POSITION ACTUALLY ASSUMED	GOVERNMENTAL AGENCY			
AA	BA	MSW	DSW		AA	BA	MSW	DSW
				Aide				
				Direct Service Worker				
				Supervisor				
				Administrator				
				Researcher				
				Planner				
				Staff Developer				
				Consultant				
				Teacher				
				Other (specify):				

				JOB/POSITION EXPECTED TO ASSUME				
				Aide				
				Direct Service Worker				
				Supervisor				
				Administrator				
				Researcher				
				Planner				
				Staff Developer				
				Consultant				
				Teacher				
				Other (specify):				

13. VARIETY OF JOBS OF GRADUATES (continued)

Narrative:

14. CAREER PROGRESSION OF GRADUATES

a.	SWER FORM, ITEM(S) 6, 9, 10, 13, 16, 17	c.	PP FORM, ITEM(S) 1, 2, 5, 8, 10, 16
b.	II FORM, ITEM(S) 17-26	d.	CONTINUATION SHEET(S) USED

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

14. What has been the career progression of your social work education graduates over the past five years and what is the anticipated career progression of your social work education graduates over the next five years?

Career progression of social work education graduates can be discussed in terms of a graduate's moving toward his own career objective(s), his movement through career lines established in agencies and organizations, or merely the evidence of his assuming responsibilities of increasing complexity and demands.

Schools able to address themselves to a career progression of former graduates should orient their discussion to the question: Are there any changes in the pattern of career progression anticipated for the next five years? If yes, describe what factors may contribute to this change. If no, describe what may contribute to the stability of this pattern.

If a school has not yet graduated persons for a full five-year period, the discussion should be for the appropriate time span.

New schools with no experience with graduates are expected to orient their narrative to the question: What is the pattern of career progression expected for your social work education graduates for the next five years? (Specify in what year you expect to produce your first social work education graduate.)

In all instances, the applicant should discuss what the implications of his information are for social work education at his institution and for his proposed project.

14. CAREER PROGRESSION OF GRADUATES (continued)

Narrative:

SOCIAL WORK EDUCATION REQUIREMENTS FORM

---

15. AVERAGE ENTRY SALARY OF GRADUATES

---

a. SWER FORM, ITEM(S) 6-9, 12, 13, 16 c. PP FORM, ITEM(S) 1, 2, 5, 16

b. II FORM, ITEM(S) 9, 17-26 d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

---

15. Estimate the average (specify whether you use a mean, median, or modal index) entry salary for your experienced and inexperienced social work education graduates at the time of their graduation. Previous social work experience refers to paid employment in social work jobs prior to entering social work education at your institution. Social work experience gained only as part of the social work education program in which courses have been taken should be counted as no previous experience. Use the tables below to insert your estimates. Your narrative should be oriented to salaries for jobs requiring comparable kinds of education your graduates take within the State in which your social work institution is located, as well as jobs they take in other States throughout the country.

Estimated Average Entry Salary VOLUNTARY AGENCY				DEGREE LEVEL	Estimated Average Entry Salary GOVERNMENTAL AGENCY			
Social Welfare		Rehabilitation		IN STATE	Social Welfare		Rehabilitation	
Exper.	No. Exp.	Exper.	No Exp.		Exper.	No Exp.	Exper.	No Exp.
				DSW/Ph.D.				
				MSW/MA				
				BA				
				AA				
				Other				
				OUT OF STATE				
				DSW/Ph.D.				
				MSW/MA				
				BA				
				AA				
				Other				

Narrative:

SOCIAL WORK EDUCATION REQUIREMENTS FORM

---

16. CAREER PROSPECTS FOR MINORITY GROUP STUDENTS

---

a. SWER FORM, ITEM(S) 6, 7, 9, 10, 11, 13-15 c. PP FORM, ITEM(S) 1, 2, 5, 8, 10, 16

b. II FORM, ITEM(S) 17-26 d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

---

16. Describe the present and future career prospects for ethnic minority as compared with non-ethnic minority social work education graduates. Identify and discuss any implications this comparison may have for social work education at your institution.

Career prospect refers to the existence of career lines in organizations as well as the likelihood that career lines will develop. Your discussion should be as specific as possible in terms of the particular ethnic minority groups and non-ethnic minority groups referred to in your narrative.

Narrative:

17. INFLUENCE OF GRADUATES ON SOCIAL WORK SERVICES

a. SWER FORM, ITEM(S)	2, 3, 9-11	c. PP FORM, ITEM(S)	1, 2, 5, 8, 10, 16, 21
b. II FORM, ITEM(S)	17-26	d. CONTINUATION SHEET(S) USED	

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

17. What effect or influence are your social work education graduates now having or are you expecting them to have on service delivery, effectiveness of services, and expansion of services?

Section IV
Report Augmentation

ITEMS 18, 19

This Section provides space for project personnel to augment the information requested in the preceding Items by the addition of any other data deemed relevant to the FORM but not specifically called for in it. The last Item requests that project personnel specify plans for updating and augmenting information already provided.

18. OTHER COMMENTS RELATED TO INFORMATION PROVIDED

a. SWER FORM, ITEM(S) 1-17
c. PP FORM, ITEM(S) 1, 2, 5, 16
b. II FORM, ITEM(S) ______
d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):
a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

18. Please use this Item to elaborate upon any aspect of the general areas covered and/or referred to in the earlier sections. Use this Item, too, to discuss any aspect of social work education which you think should be presented in terms of its implications for social work education at your institution.

19. PLANS FOR AUGMENTING INFORMATION PROVIDED

a. SWER FORM, ITEM(S) 1-18

c. PP FORM, ITEM(S) 1, 2, 5, 16

b. II FORM, ITEM(S) ________

d. CONTINUATION SHEET(S) USED ______

NARRATIVE IDENTIFICATION INFORMATION (to be completed by applicant):

a. SOURCE OF INFORMATION:

b. RECENCY OF INFORMATION:

c. PROGRAM LEVEL TO WHICH NARRATIVE APPLIES:

19. Please describe your plans for providing, augmenting, demonstrating, or updating the information provided or requested in the SOCIAL WORK EDUCATION REQUIREMENTS FORM. Refer here to Items that will be completed in more detail, will be augmented by more substantive data, etc. Any plans for monitoring information sources to provide better data should be discussed here also.

APPENDIX C

INSTITUTIONAL INVENTORY FORM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service

INSTITUTIONAL INVENTORY FORM

Project Identification Information

I. Identification and Address of Applicant School (all applicable levels e.g., department, school, division, campus, institution):

II. Project Title:

III. Level of Program (check all appropriate): Undergraduate______Graduate____

IV. Project Director (or person currently assigned project responsibility) (name, title, full mailing address, telephone number):

V. Person(s) Responsible for Completing This Form (omit if same as above; otherwise give name, title, full mailing address, telephone number)

VI. Signature and Title of Person Authorized to Sign for Institution

________________________ ________________________
Signature Date

TABLE OF CONTENTS

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Introduction		50	
General Instructions		50	
Section I: General Institutional Information		51	
Distribution of All Students by Ethnic Background	1	52	( )
Regional Accreditation of Institution	2	53	( )
Presence of Social Work Education Program	3	53	( )
Section II: Objectives of Social Work Education Program		54	
Relationship of SWE Program to CSWE	4	54	( )
Section III: Social Work Education Teaching Staff		55	
Highest Degree Held by Teaching Staff	5	56	( )
Ethnic Background of Teaching Staff	6	57	( )
Salary Information	7	58	( )
Educational Specialties of Teaching Staff	8	61	( )
Section IV: Student Services and Admission		62	
Characteristics of Student Services Program	9	63	( )
Participation in Consortium	10	64	( )
Area From Which Students Come	11	65	( )
Admission of Qualified Students	12	66	( )
Section V: Courses and Degrees		68	
Degrees Awarded Graduates of Social Work Education	13	69	( )
Social Work Education Credits Required for Graduation	14	70	( )
Course Requirements in Concentrations Offered	15	71	( )
Recent Enrollment in Concentrations Offered	16	72	( )
Section VI: Curriculum Characteristics for Class and Field Instruction		73	
Characteristics of Curriculum	17	74	( )
Selected Aspects of Classroom Instruction	18	75	( )
Content Stressed in Classroom Instruction	19	76	( )
Selected Aspects of Field Instruction	20	77	( )
Social Worker Activities Stressed in Field Instruction	21	79	( )
Focus of Minority Courses	22	80	( )

TABLE OF CONTENTS (continued)

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Section VII: Field Settings Used and Client Groups Served		81	
Program Emphasis of Settings Used for Field Instruction	23	82	( )
Student Learning Experiences with Selected Client Groupings	24	83	( )
Student Learning Experiences with Respect to Selected Age Categories of Clientele	25	84	( )
Other Features of Class and Field Instruction	26	85	( )
Section VIII: The "Educationally Disadvantaged"		86	
Classification of the "Educationally Disadvantaged"	27	87	( )
Compensatory Programs for the "Educationally Disadvantaged"	28	88	( )
Ethnic Background of Declared "Educationally Disadvantaged" Students	29	89	( )
Section IX: Program Monitoring		91	
Research and Evaluation Capabilities of the Social Work Education Program	30	92	( )
Relationship of the Social Work Education Program to Community and Students	31	93	( )
Section X: Supplementary		94	
Other Pertinent Information About the Social Work Education Program	32	95	( )

Introduction

The INSTITUTIONAL INVENTORY FORM is to be used by institutions applying for training grant funds available under certain Federal legislation. Where more than one institution is to be involved in a project, such as under a consortium arrangement, an INSTITUTIONAL INVENTORY FORM should be completed for each.

The INSTITUTIONAL INVENTORY FORM consists of 10 Sections covering 32 Items. The Table of Contents presents the titles of the Sections and the content of the Items subsumed under each Section. Throughout the INSTITUTIONAL INVENTORY FORM, the major area of each Section is discussed as a preface to the subsequent Items. Directions are provided as necessary for the completion of each item.

General Instructions

A cross-reference insert precedes the presentation of each Item. Categories "a," "b," and "c" direct your attention to other Items found in this FORM and other FORMS to which the information requested may have some relationship. The initials SWER, II, and PP refer, respectively, to the SOCIAL WORK EDUCATION REQUIREMENTS FORM, the INSTITUTIONAL INVENTORY FORM, and the PROJECT PLAN FORM. This cross-referencing is provided to assist you in the preparation of this and other forms in relation to the project. Insert the number of CONTINUATION SHEETS you have used to discuss more fully the information requested in the Item noted. When you use a CONTINUATION SHEET for any Item, indicate this by placing the number of CONTINUATION SHEETS used in the parentheses opposite the title of the Item under the heading "CONTINUATION SHEETS USED" in the Table of Contents.

In some instances you will be asked to complete certain headings for tables. Furthermore, if your project and/or program includes undergraduate and graduate program levels, please specify in your narrative the program level to which your narrative is directed. Please use any space in the Item before using a CONTINUATION SHEET.

In responding to the Items, please use whatever combination of formats (narrative, tabular, graphic) you think will best convey the information. The source of the information on which you base your replies should be indicated. Do not hesitate to use informal sources or your own best judgment. When presenting judgmental information, you may wish to indicate whether you are reflecting the dominant opinion of your institution, of social welfare and rehabilitation agencies in your area, or your own opinion.

Section I
General Institutional Information

ITEMS 1, 2, 3

This Section contains three Items relating to the institution within which the project will be located. The information requested in this Section pertains to the overall enrollment of students according to their ethnic background and the types of educational accreditation the institution has obtained for its program at the appropriate levels. The third Item asks the project director to indicate whether there is currently a social work education program. If there is none, the project director is not required to complete any additional items in the INSTITUTIONAL INVENTORY FORM.

INSTITUTIONAL INVENTORY FORM

1. DISTRIBUTION OF ALL STUDENTS BY ETHNIC BACKGROUND

a. SWER FORM, ITEM(S) ______________ c. PP FORM, ITEM(S) 1, 2, 5

b. II FORM, ITEM(S) 6, 9, 10, 29 d. CONTINUATION SHEET(S) USED ______

1. What was the student enrollment at your institution during the most recent (excluding summer school) or current term, distributed by the ethnic background of the student?

If your institution consists of multiple campuses, base your data on the campus or campuses with which your project will be directly involved. Identify the undergraduate and graduate campuses by location, as appropriate.

A "full-time" student is one who is registered at or above the minimum number of credit hours to be so classified by the institution.

Please insert the inclusive period to which your data have reference in the space provided.

DISTRIBUTION OF ALL STUDENTS BY ETHNIC BACKGROUND, ACADEMIC YEAR 19___

ETHNIC BACKGROUND	UNDERGRADUATE				GRADUATE			
	TOTAL	FULL TIME	PART TIME	OTHER	TOTAL	FULL TIME	PART TIME	OTHER
TOTAL								
American Indian								
Black								
Chicano								
Puerto Rican								
Asian American								
Other U.S.								
Foreign								
Unknown								
CAMPUS LOCATION								

2. REGIONAL ACCREDITATION OF INSTITUTION

a. SWER FORM, ITEM(S) 10

b. II FORM, ITEM(S) ______

c. PP FORM, ITEM(S) 1, 2, 5

d. CONTINUATION SHEET(S) USED ______

2. What is the status of your institution with respect to regional accreditation? Identify the regional accreditation organization(s) and your institution's status for different educational levels and programs, as appropriate.

3. PRESENCE OF SOCIAL WORK EDUCATION PROGRAM

a. SWER FORM, ITEM(S) ______

b. II FORM, ITEM(S) ______

c. PP FORM, ITEM(S) 1, 2, 5

d. CONTINUATION SHEET(S) USED ______

3. Does your institution currently have a social work education program?

a.______Yes
b.______No

If your institution does not have a social work education program at this time, you do not have to complete any additional items.

If your institution has a social work education program at this time, please continue and supply the information requested for all items, as appropriate.

Section II
Objectives of Social Work Education Program

ITEM 4

This Section, consisting of one Item, requires that the project director discuss the objectives of his current social work education program in relation to those of the Council on Social Work Education. The discussion of the interrelationship should be sufficiently detailed to enable the reader to obtain some frame of reference within which the subsequent information and narrative could be understood. Include any descriptive information that would place the current relationship of the program to CSWE in perspective.

---

4. RELATIONSHIP OF SOCIAL WORK EDUCATION PROGRAM TO COUNCIL ON SOCIAL WORK EDUCATION

---

a. SWER FORM, ITEM(S) 10

b. II FORM, ITEM(S) ______

c. PP FORM, ITEM(S) 1, 2, 5

d. CONTINUATION SHEET(S) USED ______

---

4. Please indicate the accreditation or approved status of your social work education program in relation to the Council on Social Work Education. Please discuss any issues related to your present status.

Section III
Social Work Education Teaching Staff

ITEMS 5, 6, 7, 8

This Section groups together basic information about the teaching staff of the social work education program. Items 6 and 7, respectively, request that you categorize your teaching staff along the dimensions of highest degree earned and ethnic background. Faculty salary information is requested in Item 8 for persons teaching in the social work education program and for all other persons of similar academic rank in your institution. The fourth and last Item in this Section asks that the particular educational specialties of the current teaching staff be discussed in order to identify a pattern of teaching activities and aspects of the program against which other curriculum information might be placed.

The term "teaching staff" is used to group together all persons considered as involved in that educational activity. The term "faculty" is reserved for those persons holding an academic appointment by the institution. "Full-time" refers to a person who is employed thirty hours or more fulfilling work responsibilities associated with his employment. "Part-time" refers to persons employed less than "full-time." "On Agency Payroll" refers to persons who are employed by an agency but who are engaged in teaching in your social work education program. Persons employed either "full-time" or "part-time" by organizations other than an "Agency" (persons in private practice or employed by a research institute) should be categorized as "Other" under the major heading of "Classroom Teaching" and "Field Instruction/Supervision."

If a member of your teaching staff holds a degree in social work in addition to and equal to a degree not in social work, assign that person to the social work related degree only. If a person's non-social work degree is higher than his social work degree, assign the person to the higher of the two degrees. You may wish to refer to this in your narrative.

If a person is "part-time" in two or more categories show him as occupying 1/2 or 1/3 by indicating ".5" or ".3" where indicated.

INSTITUTIONAL INVENTORY FORM

5. HIGHEST DEGREE HELD BY TEACHING STAFF

a. SWER FORM, ITEM(S) 10

b. II FORM, ITEM(S) 6-8, 17-21, 30

c. PP FORM, ITEM(S) 1, 2, 5

d. CONTINUTATION SHEET(S) USED______

5. For each category, as appropriate, indicate the number of persons engaged in full or part-time teaching in class and/or field instruction for each level of social work education (undergraduate/graduate) offered in your program. Use teaching assignments over an entire year as a basis for classification.

HIGHEST DEGREE HELD BY TEACHING STAFF, ACADEMIC YEAR 19___										
HIGHEST DEGREE HELD	UNDERGRADUATE LEVEL					GRADUATE LEVEL				
	On University Payroll				On Agency Payroll	On University Payroll				On Agency Payroll
	Classroom Teaching		Field Instr./Sup.			Classroom Teaching		Field Instr./Sup.		
	FT	PT	FT	PT		FT	PT	FT	PT	
TOTAL SOCIAL WORK DEGREE										
Doctorate										
Master's										
Bachelor's										
Associate										
TOTAL NON-SOCIAL WORK DEGREE										
Doctorate										
Master's										
Bachelor's										
Associate										
OTHER (specify)										
TOTAL GRADUATE STUDENT										
Current Doctoral										
Current Master's										

NOTE: If any of the teaching staff are other than faculty or agency, for example, persons in private practice, include this information in a brief narrative.

6. ETHNIC BACKGROUND OF TEACHING STAFF

a. SWER FORM, ITEM(S) 1-10

c. PP FORM, ITEM(S) 1, 2, 5, 13

b. II FORM, ITEM(S) 1, 4, 5, 8, 22, 31

d. CONTINUATION SHEET(S) USED ______

6. For each category, as appropriate, indicate the number of persons engaged in full or part-time teaching in class and/or field instruction for each level of social work education (undergraduate/graduate) offered in your program.

ETHNIC BACKGROUND OF TEACHING STAFF, ACADEMIC YEAR 19___

ETHNIC BACKGROUND	UNDERGRADUATE LEVEL					GRADUATE LEVEL				
	On University Payroll				On Agency Payroll	On University Payroll				On Agency Payroll
	Classroom Teaching		Field Instr./Sup.			Classroom Teaching		Field Instr./Sup.		
	FT	PT	FT	PT		FT	PT	FT	PT	
TOTAL										
American Indian										
Black										
Chicano										
Puerto Rican										
Asian American										
Other U.S.										
Foreign										
Unknown										
Other										

---

7. SALARY INFORMATION

---

a. SWER FORM, ITEM(S) 1

b. II FORM, ITEM(S) 4, 5, 8, 10

c. PP FORM, ITEM(S) 1, 2, 5, 12, 14

d. CONTINUATION SHEET(S) USED ______

---

7. Please show the range of salaries of your undergraduate and graduate level field and classroom faculty in your program for the most recent academic year. Indicate, too, similar or comparable information with respect to salaries for all other faculty in your institution. Salaries should be pro-rated to a nine-month basis. Any differentials related to experience will be reflected in the Range.

Under the heading "Total," please show the number of faculty members occupying the respective academic levels in your social work education program.

Persons may be listed as "Other" if they present only lectures for which they are paid a flat amount. In those instances, show their salary information on the basis of per session or per hour, whichever is most appropriate. Please footnote this and discuss special situations in an accompanying narrative.

Please discuss salary comparisons in terms of attracting qualified faculty for whom other departments or other institutions are competing.

7. SALARY INFORMATION – UNDERGRADUATE LEVEL FACULTY

UNDERGRADUATE LEVEL ACADEMIC RANK OF FACULTY	TOTAL UNDERGRADUATE SOCIAL WORK FACULTY	UNDERGRADUATE SOCIAL WORK EDUCATION FACULTY		ALL OTHER UNDERGRADUATE FACULTY IN THE INSTITUTION	
		Salary Range		Salary Range	
		High	Low	High	Low
Classroom Teaching Only					
Lecturer, Full-time					
Ass't. Prof., Full-time					
Assoc. Prof., Full-time					
Professor, Full-time					
Other (Specify)					
Field Instr./Sup. Only				–	–
Lecturer, Full-time				–	–
Ass't. Prof., Full-time				–	–
Assoc. Prof., Full-time				–	–
Professor, Full-time				–	–
Other (Specify)				–	–
Classroom Teaching And Field Instr./Supervision					
Lecturer, Full-time					
Ass't. Prof., Full-time					
Assoc. Prof., Full-time					
Professor, Full-time					
Other (Specify)					

7. SALARY INFORMATION – GRADUATE SCHOOL FACULTY

GRADUATE SCHOOL ACADEMIC RANK OF FACULTY	TOTAL GRADUATE SOCIAL WORK FACULTY	GRADUATE SOCIAL WORK EDUCATION FACULTY		ALL OTHER GRADUATE FACULTY IN THE INSTITUTION	
		Salary Range		Salary Range	
		High	Low	High	Low
Classroom Teaching Only					
Lecturer, Full-time					
Ass't. Prof., Full-time					
Assoc. Prof., Full-time					
Professor, Full-time					
Other, (Specify)					
Field Instr./Sup. Only				–	–
Lecturer, Full-time				–	–
Ass't. Prof., Full-time				–	–
Assoc. Prof., Full-time				–	–
Professor, Full-time				–	–
Other, (Specify)				–	–
Classroom Teaching And Field Instr./Supervision					
Lecturer, Full-time					
Ass't. Prof., Full-time					
Assoc. Prof., Full-time					
Professor, Full-time					
Other, (Specify)					

8. EDUCATIONAL SPECIALTIES OF TEACHING STAFF

a.	SWER FORM, ITEM(S) 1, 10	c.	PP FORM, ITEM(S) 1, 2, 5, 13, 22
b.	II FORM, ITEM(S) 4, 5-7, 19, 21, 22, 30	d.	CONTINUATION SHEET(S) USED ______

8. Please discuss what you view as the particular educational specialties of your teaching staff and indicate in your narrative the extent to which these educational specialties are being utilized. An educational specialty includes unique skills in presentation, mastery of specific subject matter, or interests.

Section IV
Student Services and Admission

ITEMS 9, 10, 11, 12

Four aspects of admission to the social work education program are subsumed under Section IV. The first of these, student services, relates to a wide range of services provided students before, during, and even after they have completed their education in the program. It is introduced here in that basic to any educational program is the process of recruitment and the selection of qualified students who have characteristics deemed to have some relationship to a successful career in the program. Whether the social work program is related to a consortium or other cooperative arrangement may have some specific and direct bearing on admissions. For this reason, it is included in this Section even though the implications of such an arrangement extend far beyond immediate admission considerations.

The third Item in this Section locates the area from which the student comes. This Item, together with Item # 9 in the Social Work Education Requirements Form, may suggest patterns of entry source-dispersion of students that have implications for recruitment.

The admission ratio of those admitted to those considered as qualified for admission is yielded by the data provided in the fourth Item in this Section.

9. CHARACTERISTICS OF STUDENT SERVICES PROGRAM

a. SWER FORM, ITEM(S) 1, 9, 10, 13, 15

c. PP FORM, ITEM(S) 1, 2, 4, 5, 10

b. II FORM, ITEM(S) 1, 4, 10-12, 16, 27-29, 31

d. CONTINUATION SHEET(S) USED ______

9. Please describe the characteristics of your program of student services. Include in this broad category of services the following: (1) outreach and recruitment; (2) admission; (3) student counseling; and (4) placement.

Please discuss these in terms of:

a. Location within the administrative structure of the institution.
b. Underlying philosophy and objectives.
c. Faculty—Staff allocation to program.
d. Monitoring and evaluation procedures of program.
e. Special emphasis.
f. Time and allocation of funds to program.

INSTITUTIONAL INVENTORY FORM

10. PARTICIPATION IN CONSORTIUM

a.	SWER FORM, ITEM(S) 1, 9	c.	PP FORM, ITEM(S) k, 2, 5
b.	II FORM, ITEM(S) 1, 4, 7, 8, 9, 11, 12, 14, 29, 31	d.	CONTINUATION SHEET(S) USED ____

10. Is your institution part of (a) a consortium, or (b) a cooperative arrangement with another education institution(s) for the purposes of social work education? (Please check the appropriate categories below.)

a.___No

b.___Yes (consortium___; other cooperative arrangement___;) If yes, in what year did you enter into this agreement?

c. 19___.

If yes, identify the other institution(s) involved and any special role(s) each is assigned. Also describe briefly the purpose, advantages, and disadvantages (if any) of the arrangement. Please indicate the status of the other institution(s) with respect to their accreditation by appropriate organizations.

289

---

11. AREA FROM WHICH STUDENTS COME

---

a. SWER FORM, ITEM(S) ______________ c. PP FORM, ITEM(S) ______________

b. II FORM, ITEM(S) ______________ d. CONTINUATION SHEET(S) USED ________

---

11. Please identify the area from which your admitted students are drawn. Use their permanent address to identify their state or country. Identify the academic years to which your data pertain. A two-year period is used in order to identify shifts in the pattern of origins.

AREA FROM WHICH STUDENTS COME	STUDENTS ADMITTED FOR ACADEMIC YEAR 19___ – 19___		19___ – 19___	
	Graduate	Undergraduate	Graduate	Undergraduate
Total Students				
In-State				
Out-of-State				
Foreign				

INSTITUTIONAL INVENTORY FORM

12. ADMISSION OF QUALIFIED STUDENTS

a.	SWER FORM, ITEM(S) 1, 9	c.	PP FORM, ITEM(S) 1, 2, 5
b.	II FORM, ITEM(S) 4, 9, 10	d.	CONTINUATION SHEET(S) USED ______

12. Please use the current academic year and your experience during one previous academic year to provide information on the number of social work education students admitted and on the number of students who were qualified to be admitted. The table on the following page is provided for your convenience.

An "admitted" student is one who is actually enrolled in the social work educational program. Many students meet admission requirements for a program on the basis of having completed prerequisite courses or having completed their undergraduate degree programs. The term "accepted" is used to refer to students who meet the requirements for admission and who constitute the group from which enrolled students are drawn. At the graduate level it is not unusual for an "accepted" student not to be "admitted" because of lack of stipends, changes in the planning of the student, etc.

Use this Item to discuss your disposition of persons interested in enrolling in your program but who are not processed for admission and who may be referred to other departments in your institution or put on your "waiting list" for later consideration.

12. ADMISSION OF QUALIFIED STUDENTS

PROGRAM LEVEL AND DEGREE EMPHASIS	CURRENT ACADEMIC YEAR, 19___ 19___	LAST ACADEMIC YEAR, 19___ 19___
UNDERGRADUATE, MAJOR IN SOCIAL WORK		
Admitted		
Accepted		
UNDERGRADUATE, MINOR IN SOCIAL WORK		
Admitted		
Accepted		
GRADUATE, FIRST YEAR MASTER'S		
Admitted		
Accepted		
GRADUATE, SECOND YEAR MASTER'S		
Admitted		
Accepted (*)		
GRADUATE, OTHER THAN TWO-YEAR MASTER'S		
Admitted		
Accepted		
DOCTORAL		
Admitted		
Accepted		
OTHER (Specify)		

(*) NOTE: Include in the "Accepted" total the number of first-year students returning without any interruption from their previous academic year. Indicate the number of such students in the following space: ____________________________________.

Section V
Courses and Degrees

ITEMS 13, 14, 15, 16

The four Items in this Section relate to information about the types of social work-related degrees offered by the institution, the number of persons awarded such degrees, the social work education courses and credits required for the degrees offered, the types of concentrations in the curriculum, and the number of students currently enrolled within the concentrations offered.

This information, when inter-related, provides a base for the discussion in the next Section which is addressed more specifically to the content and foci of the courses within the broad organization and constraints of the curriculum.

INSTITUTIONAL INVENTORY FORM

13. DEGREES AWARDED GRADUATES OF SOCIAL WORK EDUCATION

a. SWER FORM, ITEM(S) 1, 6
c. PP FORM, ITEM(S) 1, 2, 5
b. II FORM, ITEM(S) 4, 14
d. CONTINUATION SHEET(S) USED ____

13. Please indicate the number of students who were awarded degrees relating to social work during the most recent academic year. Under the column headed "Year" indicate the academic year in which your institution first established a curriculum arrangement leading to that degree.

DEGREE	YEAR	DEGREES AWARDED IN ACADEMIC YEAR 19___
TOTAL		
a. Two-year Associate		
b. Baccalaureate, Major in Social Work/ Social Welfare		
c. Baccalaureate, Minor in Social Work/ Social Welfare		
d. Master's degree in Social Work/Social Welfare (two-year program)		
e. Master's degree in Social Work/Social Welfare (other than two-year program)		
f. Master's degree, non-Social Work, w/minor in Social Work/Social Welfare		
g. Doctorate in Social Work/Social Welfare (DSW)		
h. Doctorate in Social Work/Social Welfare (Ph.D)		
i. Doctorate, non-Social Work, w/cognate in Social Work/Social Welfare		
j. Other (specify)		

---

14. SOCIAL WORK EDUCATION CREDITS REQUIRED FOR GRADUATION

---

a. SWER FORM, ITEM(S) 1, 6, 10 c. PP FORM, ITEM(S) 1, 2, 5

b. II FORM, ITEM(S) 4, 10, 13,15, 19, 21 d. CONTINUATION SHEET(S) USED ______

---

14. Indicate the total number of credits required for graduation and the number of these credits that must be obtained in social work education courses for each of the social work-related degrees now offered by your institution. Please indicate if your institution operates on a semester or quarter basis.

DEGREE	Total All Credits	Social Work Education Credits		
		Total	Class	Field
a. Two-year Associate				
b. Baccalaureate, Major in Social/Work Social Welfare				
c. Baccalaureate, Minor in Social Work/ Social Welfare				
d. Master's Degree in Social Work/Social Welfare (two-year program)				
e. Master's degree in Social Work/Social Welfare (other than a two-year program)				
f. Master's degree, non-Social Work, w/ minor in Social Work/Social Welfare				
g. Doctorate in Social Work/Social Welfare (DSW)				
h. Doctorate in Social Work/Social Welfare (Ph.D.)				
i. Doctorate, non-Social Work, w/cognate in Social Work/Social Welfare				
j. Other (specify)				

Check Appropriate Space: Semester Basis ( ); Quarter Basis ( ).

15. COURSE REQUIREMENTS IN CONCENTRATIONS OFFERED

a. SWER FORM, ITEM(S) 1, 3, 6, 10

c. PP FORM, ITEM(S) 1, 2, 4, 5, 8

b. II FORM, ITEM(S) 4, 14, 16, 17, 19, 21

d. CONTINUATION SHEET(S) USED ______

15. For each social work-related degree awarded by your institution, please indicate the emphasis/concentrations, the course requirements for each emphasis/concentration, and the credit hours for each course named. Please refer to the following terms in presenting your information:

a. Casework
b. Group Work
c. Community Organization
d. Generic Social Work Practice
e. Administration
f. Research
g. Policy
h. Combined Concentrations (specify)
i. Other (specify)

DEGREE AWARDED	EMPHASIS/CONCENTRATION & COURSE REQUIREMENTS	CREDIT HOURS

INSTITUTIONAL INVENTORY FORM

16. RECENT ENROLLMENT IN CONCENTRATIONS OFFERED

a. SWER FORM, ITEM(S) 1, 3, 6, 10
c. PP FORM, ITEM(S) 1, 2, 5, 21
b. II FORM, ITEM(S) 4, 9, 15
d. CONTINUATION SHEET(S) USED ______

16. Please provide the number of students who expressed an intention to be in or who actually were enrolled in the concentrations/emphases provided by your curriculum. Use your experience with students who were enrolled as full-time or part-time during the most recent academic year. Include data for all appropriate educational levels of your program.

The number of students should be an unduplicated count based on their full or part-time status as of the end of the last academic year and whether they had enrolled or just intended to enroll in one of the concentrations offered.

CONCENTRATION	STUDENTS ENROLLED AND THOSE INTENDING TO ENROLL IN CURRICULUM CONCENTRATION, ACADEMIC YEAR 19__					
	TOTAL		ENROLLED		INTENDED TO ENROLL	
	FULL TIME	PART TIME	FULL TIME	PART TIME	FULL TIME	PART TIME
TOTAL						
UNDERGRADUATE LEVEL						
Casework						
Group Work						
Community Organization						
Generic Social Work						
Administration						
Research						
Policy						
Combined Concentration (specify):						
Other (specify):						
GRADUATE LEVEL						
Casework						
Group Work						
Community Organization						
Generic Social Work						
Administration						
Research						
Policy						
Combined Concentration (specify):						
Other (specify):						

Section VI
Curriculum Characteristics for Class and Field Instruction

ITEMS 17, 18, 19, 20, 21, 22

The first Item in this Section specifies some of the administrative and structural components of the curriculum to which project personnel are asked to relate. Then, for classroom-based course material and field instruction material, project personnel are asked to discuss selected aspects of these instructional approaches as well as what is stressed or emphasized in these components of the curriculum.

This information, taken as a whole, tells something of the ways in which the information provided in Section V is "brought to life" and the ways in which the objectives of the program are implemented, in part.

17. CHARACTERISTICS OF CURRICULUM

a.	SWER FORM, ITEM(S) 1-7, 9-17	c.	PP FORM, ITEM(S) 1, 2, 4, 5, 8, 10, 15
b.	II FORM, ITEM(S) 4, 5, 15, 18-31	d.	CONTINUATION SHEET(S) USED ______

17. Please discuss the following aspects of your curriculum, introducing your narrative in each area by providing the appropriate alphabetic reference:

a. Length of social work education program.
b. Provision for full-time, part-time, work-study, and other types of student enrollment.
c. Use of electives, independent study, options, crediting students for course work completed at lower levels, crediting for equivalency, etc.
d. Use of prerequisites to and in (1) undergraduate minor in social work; (2) undergraduate major in social work; (3) first year graduate program in social work; (4) second year graduate program in social work; and (5) doctoral program.
e. Utilization of interdepartmental and interdisciplinary courses.

18. SELECTED ASPECTS OF CLASSROOM INSTRUCTION

a. SWER FORM, ITEM(S) 1-7, 9-17

c. PP FORM, ITEM(S) 1, 2, 4, 8, 15

b. II FORM, ITEM(S) 4, 5, 17, 19-30

d. CONTINUATION SHEET(S) USED _______

18. Please discuss the following aspects of your classroom instruction, introducing your narrative in each area by providing the appropriate alphabetic reference:

a. Underlying philosophy of classroom instruction and its relationship to the larger objectives of your social work education program.

b. Method of presentation of material, for example, lecture, seminar, panel discussion, individual student report, etc.

c. Use of audiovisual aids, such as slides, films, videotapes, recordings, displays, etc.

d. Allocation of faculty to teaching, for example, single instructor, team teaching, interchangeable use of core faculty, etc.

e. Evaluation of student performance, for example, use of examinations, term papers, oral reports, cross-course assignments, etc.

19. CONTENT STRESSED IN CLASSROOM INSTRUCTION

a. SWER FORM, ITEM(S) 1-7, 9-17

b. II FORM, ITEM(S) 4, 5, 8, 14, 15, 17-30

c. PP FORM, ITEM(S) 1, 2, 4, 8, 15

d. CONTINUATION SHEET(S) USED ______

19. Please discuss what content you particularly stress in the classroom based courses of your social work education curriculum. Do not refer here to material presented in your field of teaching.

20. SELECTED ASPECTS OF FIELD INSTRUCTION

a.	SWER FORM, ITEM(S) 1-7, 9-17	c.	PP FORM, ITEM(S) 1, 2, 4, 5, 8, 10, 15
b.	II FORM, ITEM(S) 4, 5, 17-19, 21-30	d.	CONTINUATION SHEET(S) USED ______

20. Please discuss the following aspects of your field instruction, introducing your narrative in each area by providing the appropriate alphabetic reference:

a. The underlying philosophy of field instruction and its relationship to the large objectives of your social work education program.

b. The relationship of field instruction and field experiences to (1) classroom-based course content; (2) the emphases/concentrations around which your curriculum may be oriented.

c. Time dimensions, such as (1) clock hour-credit hour ratio; (2) block plan-concurrent plan-other; (3) sequencing of observation and direct service involvement in providing services; and (4) sequencing of types of educational opportunities.

d. The nature of field placements utilized, such as (1) governmental-voluntary-other; (2) social agency-teaching center-satellite-nonagency-other.

e. Type of supervision-field teaching offered, such as (1) individual-group-peer-other; (2) use of non-social workers, persons holding joint appointments with other schools or departments, agency employed persons, faculty-based teachers; and (3) availability and utilization of consultation.

f. Location of field instruction placements: rural, urban, inner city, metropolitan (indicate if locations are near to or distant from the institution).

g. Inter-relatedness of class and field teaching; if field placements are distant from the institution, then discuss the policy aspects of this.

Please continue your narrative on the following page.

302

20. SELECTED ASPECTS OF FIELD INSTRUCTION (continued)

Narrative:

INSTITUTIONAL INVENTORY FORM

21. SOCIAL WORKER ACTIVITIES STRESSED IN FIELD INSTRUCTION

a. SWER FORM, ITEM(S) 1-7, 9-17

c. PP FORM, ITEM(S) 1, 2, 4, 5, 8, 15

b. II FORM, ITEM(S) 4, 5, 14, 15, 17-20, 23-30

d. CONTINUATION SHEET(S) USED ______

21. What are the particular social worker activities that are stressed in the field instruction aspect of your social work education curriculum? Please discuss this in terms of the several educational levels of social work education offered by your program as well as in relation to the curriculum emphases/concentrations offered.

You may wish to discuss social worker activities in terms of categories such as "broker," "advocate," and "coordinator." Or you may wish to organize activities around "providing supportive counseling," "identifying and/or assessing needs," and "linking available services to needs of clients."

22. FOCUS OF MINORITY COURSES

a.	SWER FORM, ITEM(S) ______________	c.	PP FORM, ITEM(S) ______________
b.	II FORM, ITEM(S) ______________	d.	CONTINUATION SHEET(S) USED ________

22. Please discuss briefly the ways in which your social work education program addresses itself to minority course material. Refer to the following in the course of your discussion:

a. Methods of teaching minority course material-separate course vs. content throughout the curriculum; minority group teacher vs. non-minority group teacher; small class vs. large class; informational vs. experiential focus.

b. Required vs. elective courses in minority content.

c. Use of community representatives of minority groups as teachers and as resource persons.

Section VII
Field Settings Used and Client Groups Served

ITEMS 23, 24, 25, 26

This Section contains four Items specifically related to the field work experiences of the students. The areas referred to in these four Items are the types of settings used for field instruction, the client groupings served (individual, couple, family, etc.), and the age groups of clients served. While these areas do not exhaust the number of classifications of experiences of students in the field, together they convey basic information that is most readily obtainable and useful in describing their activities.

Finally, the last Item provides an opportunity to introduce and discuss aspects of classroom and field teaching not sufficiently covered by the preceding Items in the FORM.

---

23. PROGRAM EMPHASIS OF SETTINGS USED FOR FIELD INSTRUCTION

a. SWER FORM, ITEM(S) 1-7, 9-17

b. II FORM, ITEM(S) 4, 17-22, 24-26, 31-

c. PP FORM, ITEM(S) 1, 2, 4, 5, 8, 15

d. CONTINUATION SHEET(S) USED ______

---

23. Please indicate, as appropriate, the number of social work education students who received their field work instruction during the most recent academic year in the types of field placements indicated in the accompanying table.

Total student activity will be in excess of the actual number of students involved as this Item covers an entire academic year; some students may have more than one type of field setting as part of their field instruction assignment. Insert the unduplicated count of students for each column opposite the heading "Total Students" and the total of all assignments opposite the heading "Total Assignments."

Identify the status of a student on the basis of his status at the end of the academic year.

Use the space opposite the heading "Other" to indicate situation not provided for. Please submit narrative information explaining your use of the "Other" classification.

"Non-Declared" should be used for information about students who have taken a field work course for credit but are not declared by the end of the academic year.

If your social work education program utilized these settings to provide opportunities for students to observe as well as to deliver services to clientele, please make reference to this in a narrative statement.

23. PROGRAM EMPHASIS OF SETTINGS USED FOR FIELD INSTRUCTION, ACADEMIC YEAR 19____

SETTING AND PROGRAM EMPHASIS	UNDERGRADUATE SOCIAL WORK						GRADUATE SOCIAL WORK				
	DECLARED MAJOR		DECLARED MINOR		NON-DECLARED		FIRST YEAR		SECOND YEAR		OTHER
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT	
Total Students											
Total Assignments											
VOLUNTARY AGENCY											
Aged											
Child Welfare											
Community Planning Services											
Corrections											
Education											
Family											
Group Services											
Legal Aid											
Medical											
Psychiatric											
Rehabilitation											
Other (specify)											
GOVERNMENTAL AGENCY											
Aged											
Child Welfare											
Community Planning Services											
Corrections											
Education											
Family											
Group Services											
Legal Aid											
Medical											
Psychiatric											
Public Assistance											
Rehabilitation											
Other (specify)											
OTHER (specify)											

NOTE: "FT" and "PT" refer, respectively, to social work education students who are enrolled in the institution on a full-time basis and other than a full-time basis.

24. STUDENT LEARNING EXPERIENCES WITH SELECTED CLIENT GROUPINGS

a.	SWER FORM, ITEM(S) 1-7, 9-17	c.	PP FORM, ITEM(S) 1, 2, 4, 5, 8, 15
b.	II FORM, ITEM(S) 4, 17-23, 25, 26, 31	d.	CONTINUATION SHEET(S) USED ______

24. Please discuss (a) the sorts of learning experiences social work education students in your program have in their field work assignments with respect to individuals, marital couples, families, groups, organizations, and the community; and (b) the relative frequency with which their learning experiences with clients in these categories occur in the course of an academic year.

25. STUDENT LEARNING EXPERIENCES WITH RESPECT TO SELECTED AGE CATEGORIES OF CLIENTELE

a. SWER FORM, ITEM(S) 1-7, 9-17

b. II FORM, ITEM(S) 4, 17-24, 26, 31

c. PP FORM, ITEM(S) 1, 2, 4, 5, 8, 15

d. CONTINUATION SHEET(S) USED ______

25. Please discuss briefly (a) the sorts of learning experiences social work education students in your program have in their field work assignments with respect to clientele in the following broad descriptive areas of age: infant, child, young adolescent, young adult, middle-aged, mature, and the aged; and (b) the relative frequency with which their learning experiences with clients in these age groupings occur in the course of an academic year.

26. OTHER FEATURES OF CLASS AND FIELD INSTRUCTION

26. Please use this Item to discuss any features or your present arrangement of classroom and field teaching which have not been covered in the preceding Items.

Section VIII
The Educationally Disadvantaged

ITEMS 27, 28, 29

Although identifying and providing special services to students classified as educationally disadvantaged might be considered as part of the admission process, it is considered separately in this Section as the phenomenon has implications that pervade the entire program. The first Item in this Section seeks to identify whether and how students are classified as educationally disadvantaged in the social work education program. The second Item specifies that any compensatory program for these students be described along a number of dimensions. The last Item asks that students be distributed along the dimensions of educationally disadvantaged and ethnic background according to their degree objectives.

27. CLASSIFICATION OF THE EDUCATIONALLY DISADVANTAGED

a.	SWER FORM, ITEM(S) 6, 7, 10, 14	c.	PP FORM, ITEM(S) 1, 2, 5, 8, 21
b.	II FORM, ITEM(S) 4, 9, 17-21, 28, 29, 31	d.	CONTINUATION SHEET(S) USED ______

27. Please use this Item to answer the introductory questions relating to the educationally disadvantaged student and to discuss in some detail the information requested in each of the three subsections of this Item. Please check the statement (√) for "a" and "b" . . .

a. Does your institution currently have a classification scheme to identify an educationally disadvantaged student? (Please check the statement most descriptive of your situation and use as much space as necessary to discuss your answer.)

____Yes . . . when did the scheme become operational and what are the criteria used?
____Yes . . . but not currently . . . please discuss
____No, never . . . please explain

b. Does your social work education unit (department, school, etc.) have a classification scheme other than that used by your institution to identify an educationally disadvantaged student?

____No . . . please discuss
____Yes, in the past but not now . . . please discuss
____Yes . . . when did the scheme become operational and what are the criteria used?

c. On what basis is a student no longer classified as educationally disadvantaged? (That is, how does a student attain egress from this classification?)

If your institution or social work education unit uses a term other than educationally disadvantaged, please specify the term or terms used.

28. COMPENSATORY PROGRAMS FOR THE EDUCATIONALLY DISADVANTAGED

a.	SWER FORM, ITEM(S) 6, 7, 10, 14	c.	PP FORM, ITEM(S) 1, 2, 5, 8, 10, 21
b.	II FORM, ITEM(S) 4, 9, 17-21, 27, 29, 31	d.	CONTINUATION SHEET(S) USED ______

28. Briefly outline and discuss any compensatory program your institution and/or social work education unit (school, department, etc.) has for students identified as educationally disadvantaged:

a. Location of program in institutional structure.
b. Past and current use made of this by social work education unit.
c. Description of program.
d. Under whose auspices is it sponsored.
e. Describe own program if different from that for total institution.
f. Past and current use made of own program.
g. Exit requirement from institution's program.
h. Exit requirement from institution's program.
i. Social work faculty relationship to institution program.
j. Social work faculty relationship to own program.
k. Other's relationship to social work program.

---

29. ETHNIC BACKGROUND OF DECLARED EDUCATIONALLY DISADVANTAGED STUDENTS

a. SWER FORM, ITEM(S) 4, 10, 16 c. PP FORM, ITEM(S) 5, 10

b. II FORM, ITEM(S) 1, 4, 8, 9-12, 17, 27, 28, 31 d. CONTINUATION SHEET(S) USED ______

---

29. Please indicate the number and ethnic background of full-time and part-time declared social work education students enrolled in your program who were "educationally disadvantaged" during the most recent academic year. Use the table on the following page to supply the information requested.

If your institution does not have a classification scheme for "educationally disadvantaged," insert the words "not applicable" opposite the heading for each degree level to which your program is addressed.

For purpose of this Item, consider as "educationally disadvantaged" any student who was so classified at the beginning of the most recent academic year.

29. ETHNIC BACKGROUND OF DECLARED EDUCATIONALLY DISADVANTAGED STUDENTS

DECLARED LEVEL AND ETHNIC BACKGROUND	TOTAL	FULL-TIME	PART-TIME
TOTAL			
UNDERGRADUATE			
TOTAL SWE MAJORS			
American Indian			
Black			
Chicano			
Puerto Rican			
Asian American			
Other U.S.			
Foreign			
Unknown			
TOTAL SWE MINORS			
American Indian			
Black			
Chicano			
Puerto Rican			
Asian American			
Other U.S.			
Foreign			
Unknown			
GRADUATE			
TOTAL FIRST YEAR			
American Indian			
Black			
Chicano			
Puerto Rican			
Asian American			
Other U.S.			
Foreign			
Unknown			
TOTAL SECOND YEAR			
American Indian			
Black			
Chicano			
Puerto Rican			
Asian American			
Other U.S.			
Foreign			
Unknown			
TOTAL DOCTORAL			

Section IX
Program Monitoring

ITEMS 30, 31

This Section asks for information in the areas of research capability and the relationship of the social work education program to its significant community; at least, this includes the students enrolled in the program and the surrounding community as represented by client groups, agencies, and lay organizations. Research capability and community relationships have been singled out in particular inasmuch as they are two aspects of the program that touch upon accountability, feedback, and decision making.

30. RESEARCH AND EVALUATION CAPABILITIES OF THE SOCIAL WORK EDUCATION PROGRAM

a. SWER FORM, ITEM(S) 1

b. II FORM, ITEM(S) 4, 5, 8, 17-21, 31

c. PP FORM, ITEM(S) 1, 2, 5, 8, 16

d. CONTINUATION SHEET(S) USED _______

30. Please identify and discuss the research-evaluation-assessment resources available to your social work education program and the extent to which they are being utilized for (1) instructional-curriculum purposes and (2) administrative-organizational purposes. Examples of (1) are faculty whose competence is in research used in relationship to leading student research projects or to teach a course in statistics. An example of (2) is a faculty person who is assigned responsibility for evaluating student learning in an innovative teaching center for the purpose of providing data to be used in decision making related to expanding the use of this placement.

Resources need not be limited to those identified with the social work education program. Include such resources as computers, programmers, as well as budget allocations for such purposes.

---

31. RELATIONSHIP OF THE SOCIAL WORK EDUCATION PROGRAM TO COMMUNITY AND STUDENTS

---

a. SWER FORM, ITEM(S) 1, 10

b. II FORM, ITEM(S) 4, 6, 9, 10, 17, 22-30

c. PP FORM, ITEM(S) 1, 2, 4, 5-7, 8, 10, 13

d. CONTINUATION SHEET(S) USED ______

---

31. Please identify and discuss the ways in which and the extent to which your social work education program has developed relationships with (a) representatives of the community and (b) students other than in relationship to instruction.

Section X
Supplementary

ITEM 32

This final Section provides an opportunity for the project director to add any information not required specifically in this form but deemed pertinent to his social work education program and the institutional and/or community setting in which it is located.

INSTITUTIONAL INVENTORY FORM

32. OTHER PERTINENT INFORMATION ABOUT THE SOCIAL WORK EDUCATION PROGRAM

a.	SWER FORM, ITEM(S) ________	c.	PP FORM, ITEM(S) 1, 2, 5
b.	II FORM, ITEM(S) 1-31	d.	CONTINUATION SHEET(S) USED ________

32. Please use this Item for purposes of discussing any pertinent aspect of your institution and/or social work education program that you consider important to identify as part of this INSTITUTIONAL INVENTORY FORM.

APPENDIX D

PROJECT PLAN FORM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service

PROJECT PLAN FORM

Project Identification Information

I. Identification and Address of Applicant School (all applicable levels e.g., department, school, division, campus, institution):

II. Project Title:

III. Level of Program (check all appropriate): Undergraduate___Graduate_____

IV. Project Director (or person currently assigned project responsibility) (name, title, full mailing address, telephone number):

V. Person(s) Responsible for Completing This Form (omit if same as above; otherwise give name, title, full mailing address, telephone number):

VI. Signature and Title of Person Authorized to Sign for Institution:

______________________________ ______________________________
Signature Date

TABLE OF CONTENTS

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Section I: Context, Evolution, and Development of the Project		102	
Summary of Project and Planned Activities	1	102	( )
Summary of Project and Planned Activities (cont.)	1a	103	( )
Summary of Project and Planned Activities (cont.)	1b	104	( )
Events Leading to Consideration of Project	2	105	( )
Activities Undertaken with Respect to Project	3	105	( )
Program Context of Project	4	106	( )
Section II: Detailed Statement of Objectives, Planning, Assessment, and Achievement		107	
Planning for the Achievement of the Project's Objectives	5	111	( )
Section III: Impediments to Interaction		175	
Reduction of Impediments to Interaction	6	175	( )
Emergence of Impediments to Interaction	7	176	( )
Section IV: Administrative Support Activities.		177	
Interaction of Project with Curriculum	8	178	( )
Social Work Education Capabilities	9	178	( )
Interaction of School with Institution, Community, and Other Plans and Projects in School	10	179	( )
Interproject Relationships	11	179	( )
Other Project Relationships	12	180	( )
Locating, Obtaining, Deploying, and Organizing Resources	13	180	( )
Fiscal Management Support Information	14	181	( )
Reporting	15	181	( )
Research, Evaluation, Follow-up, and Data Processing	16	182	( )
Continuity of Project Leadership	17	182	( )
Contingency Planning	18	183	( )

TABLE OF CONTENTS (continued)

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Section V: Estimation of Funding, Students Affected, and Activities of Faculty		184	
Rank Ordering of Broad Objective Areas	19	185	( )
Funding of Project	20	186	( )
Funding of Project (cont.)	20	187	( )
Students Affected by Project	21	188	
Students Affected by Project (cont.)	21	189	( )
Project-Related Activities of Faculty	22	190	( )
Project-Related Activities of Faculty (cont.)	22	191	( )
Interpretive Statement and Summary	23	192	( )

Section I
Context, Evolution, and Development of the Project

ITEMS 1, 2, 3, 4

The four Items included in this Section touch upon the broad background and history of the project as well as the project itself. The first Item calls for a summary or abstract of the project along with the activities that are planned in the project which relate to the stated objectives of the project. This narrative should be sufficiently defined so as to permit the reviewer to obtain a good overview of project objectives and planning. The information requested in this Item serves to orient the project to the BROAD OBJECTIVE AREAS and the PRIMARY OBJECTIVES that are appropriate to the project.

The remaining three Items are addressed to what led up to the applicant considering the project, the activities already undertaken with respect to the project, and the relationship of the project to other developments in the school.

Item 1. SUMMARY OF PROJECT AND PLANNED ACTIVITIES

On the following page is a list of (1) BROAD OBJECTIVE AREAS and (2) PRIMARY OBJECTIVES. Please review these four BROAD OBJECTIVE AREAS after considering your project and its objectives. Place a check (√) opposite the statement(s) in column (1) that best match the intent of your project. Under column (2) are more specific statements of PRIMARY OBJECTIVES. They are organized with respect to the appropriate BROAD OBJECTIVE AREA. Place a check (√) opposite each of the statements in column (2) that best match your own objectives. In column (3) are references to the particular packet in the PROJECT PLAN FORM which applies specifically to the PRIMARY OBJECTIVES you have checked.

Item 5 contains four-page packets organized to provide you with an opportunity to go into much greater detail in your discussion of the material you have summarized in Item 1. You will note that the additional Item subscript, e.g., "A-1" corresponds to the designation of the first PRIMARY OBJECTIVE listed in column (2.) Classification "O" is provided to enable you to specify additional PRIMARY OBJECTIVES and/or a BROAD OBJECTIVE AREA and any PRIMARY OBJECTIVES not shown in the list in the event your project's objectives do not lend themselves to the listing presented here. You should select and use *only* those packets that apply to your PRIMARY OBJECTIVES or use O-1 if you develop objectives not listed. The applicant may add any PRIMARY OBJECTIVES not covered in the given listing. If a PRIMARY OBJECTIVE is added in any of the listed BROAD OBJECTIVE AREAS, the applicant will have to develop his own set of ACHIEVEMENT STEPS.

PROJECT PLAN FORM

Item 1a. SUMMARY OF PROJECT AND PLANNED ACTIVITIES

Check Areas That Best Match Your Project	(1) BROAD OBJECTIVE AREAS*	Check Areas That Best Match Your Project	(2) PRIMARY OBJECTIVE*	(3) ITEM 5 PACKET
	A–CURRICULUM		AI – Add or Enrich Social Work Education Opportunities Other Than Field Instruction	A–I
			A2 – Add or Enrich Field Instruction	A–2
			A3 – Make Offerings More Interdisciplinary	A–3
			A4 – Add or Enrich Emphasis on Specialized Programs and/or Problems	A–4
			A5 – Add Dimensions to Social Work Roles	A–5
			A6 – Integrate Levels of Instruction	A–6
			A7 – Integrate Modes of Instruction	A–7
			A8 – Develop and Apply Innovative Methods of Instruction	A–8
	B–STUDENTS		B1 – Strengthen Student Services	B–1
			B2 – Make Openings for Minority Students	B–2
			B3 – Make Openings for Disadvantaged Students	B–3
	C–FACULTY		C1 – Develop Faculty Capabilities	C–1
			C2 – Augment Faculty Capabilities	C–2
	D–SWE INSTITUTIONS		D1 – Effective Organization and Utilization of Resources	D–1
			D2 – Combine Institutional Resources	D–2
	O–OTHER (Specify)*		O1 – Other (specify)*	O–1

*NOTE: Item 5 Packet O–1 may be used to add a PRIMARY OBJECTIVE not listed or to add any BROAD OBJECTIVE AREAS and any PRIMARY OBJECTIVES not already listed. When using O–1, please furnish the necessary titling and establish the ACHIEVEMENT STEPS for it.

PROJECT PLAN FORM

1b. SUMMARY OF PROJECT AND PLANNED ACTIVITIES

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) 2-23

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

1b. Briefly describe your project in terms of the main things you are trying to accomplish, that is, in terms of your objectives. Include in this description the principal steps you expect to take to achieve these objectives and how you expect to demonstrate that you have achieved them.

PROJECT PLAN FORM

2. EVENTS LEADING TO CONSIDERATION OF PROJECT

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) 1, 3-6

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

2. What is the rationale that led you to develop this project? Include reference, as appropriate, to events relating to students, faculty/teaching staff, administration of the institution, client populations, community agencies and community concerns, State-regional-national programs, and curricular-fiscal-professional aspects of social work education.

3. ACTIVITIES UNDERTAKEN WITH RESPECT TO PROJECT

a. SWER FORM, ITEM(S) ______

c. PP FORM, ITEM(S) 1, 2, 4, 5, 8, 10, 13-17

b. II FORM, ITEM(S) ______

d. CONTINUATION SHEET(S) USED ______

3. What activities and steps have been undertaken already in preparation of the project and which do you view as leading to the ultimate accomplishment of the project?

PROJECT PLAN FORM

4. PROGRAM CONTEXT OF PROJECT

a. SWER FORM, ITEM(S) ____________

b. II FORM, ITEM(S) 4, 13, 22, 17-26, 31

c. PP FORM, ITEM(S) 1, 2, 3, 5, 8

d. CONTINUATION SHEET(S) USED ______

4. Describe briefly the relationship of the proposed project to your present and any projected social work education programs of your school.

Section II

Detailed Statement of Objectives, Planning, Assessment, and Achievement

ITEM 5: (5e), (5f), (5g), (5h)

This Item requests four major kinds of information about your project and in itself represents the critical Section of the PROJECT PLAN FORM. The first sub-Item is titled OBJECTIVES (5e) and should be used for a statement of your objectives. The second area of information is that of ACTIVITIES AND EVENTS (5f) which are planned in order to accomplish the previously stated objectives (5e). The third type of data refers to RESULTS AND ASSESSMENT (5g) and includes what you consider as satisfactory indicators of having accomplished your objectives (5e) and how you intend to assess these indicators. The last sub-Item asks that you translate your statement of objectives (5e) into a standardized format of ACHIEVEMENT STEPS (5h), a hierarchically arranged series of statements developed in relation to each of the PRIMARY OBJECTIVES. These STEPS then become the means by which all project plans can be brought into uniformity of statements of objectives and thus provide some measure of a common base or point of reference.

In the course of completing the information requested in (5e), (5f), and (5g), it is important to take into account "system-like" aspects of your project in relation to your social work education program and the environmental factors impinging upon it. Within the general purposes of your program and the project, translate your objectives into actions by identifying available resources and determining the required functions, methods, and activity sequences necessary for carrying out the objectives. *Resources* are what you work with. They refer to the following, for example: persons, time, money, things (such as equipment, books, and space,) and information. Information may be knowledge *about* or knowledge *for.* Data that have been gathered and organized about certain populations are an example of the former. Specific course material used in teaching might be an example of the latter. Take into account (1) Structures and (2) Processes. *Structures* refer to the organization of your institution (and social work education unit) and the way in which components or sub-units are related to one another and to the larger whole.

Structures are identifiable organized entities that are currently integral or related to the social work education program in a direct or a meaningfully indirect manner. Examples of *Structures* are field instruction units, a social welfare agency, a faculty committee on admissions, and an advisory committee. *Processes* refer to what the Structures do and/or are expected to do as well as how they interrelate within the bounds of their responsibilities. *Processes* will refer to the activities of the *Structures* (considered by themselves or in conjunction with other organized entities) that are currently integral to or related to the social work education program in a direct and/or meaningfully indirect manner. Some examples of *Processes* are the recruitment process, the admission process, and the field instruction process.

In thinking through the interrelatedness of *Resources, Structures*, and *Processes* with respect to your project planning, please give priority to those that are ordinarily integral or related to your social work educatiom program and to those that may be developed for the particular purposes of the project.

There is no one best way to state an objective. You should state project objectives in a way that is meaningful to you and has relevance in your situation. Some managers may state objectives in specifics, some may state objectives more globally and develop sub-objectives to specify specifics, etc. As long as the statement and the intentions are clear; the activities and action steps are spelled out; the criteria by which you yourself will judge whether or not you have achieved project objectives are specified, that is acceptable.

The process is iterative. There will be many changes, additions, deletions as the process of thinking through and working through the plan progresses. The forms provide a format to help guide the thinking through process for the development of your plan.

Sub-Item (5h) consists of a number of ACHIEVEMENT STEPS which should relate to objectives you have discussed in (5e). These STEPS allow you to schedule your expected project accomplishments against the pre-established statements of criterion achievements and to use this information to: demonstrate how your plans fit a logical sequence of accomplishments relevant to the broad area(s) of program objectives to which your specific objectives are addressed; provide a facile comparison between project intentions and actual project achievements; envision and demonstrate how your project plans and subsequent accomplishments can be related to the broader foci of social work education, services, and performance; provide data to Federal managers for individual project plan review and project accomplishment review.

The statements for the PRIMARY OBJECTIVES progress from those which could be accomplished early in the course of the project to those which will be accomplished later. In the course of preparing the PROJECT PLAN FORM you may have already achieved some of the early ACHIEVEMENT STEPS. Indicate, as appropriate, by inserting the symbol "___" opposite the ACHIEVEMENT STEP in the columns applicable under the heading "UnderGrad" or "Grad." The statements coded with this symbol should be justified on the basis of information you provide in Item 3: "ACTIVITIES UNDERTAKEN WITH RESPECT TO PROJECT." If some of the statements of ACHIEVEMENT STEPS may not be demonstrated within the project or do not fit into your specific plans, insert the symbol "XX" opposite these statements in the applicable column(s). Please discuss your reasons for omitting these ACHIEVEMENT STEPS in a Continuation Sheet.

Decide which of the ACHIEVEMENT STEPS you expect to complete, decide when in the course of the project you expect to make the first positive demonstration of having completed it, and indicate the grant year in which this will occur by inserting that year (e.g., 1974) opposite the appropriate ACHIEVEMENT STEP and in the applicable column(s).

Please check to make certain that at least one of the two symbols ("___", "XX", or the grant year) appears opposite each ACHIEVEMENT STEP for each program level (Under Grad or Grad) to which your project applies.

Note that there is a separate Item 5 four-sheet packet for *each* PRIMARY OBJECTIVE. Use only those packets that apply to your primary objectives or use O-1 if you develop objectives not listed.

Please insert the CONTINUATION SHEETS you may have used for any extended discussion of (5e), (5f), or (5g) and note the number of such SHEETS used in the heading ("d"– CONTINUATION SHEET(S) USED). You do not have to use a new or separate CONTINUATION SHEET for each of these sub-Items. Do use a new titled Item 5 packet and necessary CONTINUATION SHEETS for your discussion of any other PRIMARY OBJECTIVE(S) and proceed to format the information as instructed here. Check to determine that you have the appropriate Item 5 packet for each PRIMARY OBJECTIVE to which your project has reference.

If you need to use more than one titled Item 5 packet for a particular PRIMARY OBJECTIVE, include this information in your narrative so that the reviewer can follow the development of your discussion.

The remainder of this Section contains 16 Item 5 packets – one for each of the PRIMARY OBJECTIVES. The sequencing of these packets follows that of the Table in Item 1a of this PROJECT PLAN FORM (A-1 through O-1)

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a.	SWER FORM, ITEM(S)	All	c.	PP FORM, ITEM(S)	All
b.	II FORM, ITEM(S)	All	d.	CONTINUATION SHEET(S) USED	

ITEM 5
PACKET A-1

Broad Objective Area "A": Curriculum

Primary Objective "1": Add or Enrich Social Work Education Opportunities Other Than Field Instruction

334

PROJECT PLAN FORM

(A-1), page 2

5e. **OBJECTIVES**	5f. **ACTIVITIES AND EVENTS**	5g. **RESULTS AND ASSESSMENT**
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

PROJECT PLAN FORM

(A-1), page 3

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–1 Add or Enrich Social Work Education Opportunities Other Than Field Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Identify the need for new or enriched SWE opportunities
19___	19___	b) Define the nature of the new or enriched SWE opportunities
19___	19___	c) Define the nature of benefits expected from new or enriched SWE opportunities
19___	19___	d) Make plans for the introduction of new or enriched SWE opportunities
19___	19___	e) Make positive efforts to establish new or enriched SWE opportunities
19___	19___	f) Successfully establish new or enriched SWE opportunities
19___	19___	g) Increase the institution's capacity for handling students in SWE as a result of adding or enriching SWE opportunities
19___	19___	h) Estimates of output of SWE provided under this project take into account probable alternative SWE opportunities that would have emerged without the project
19___	19___	i) Quantitative output of graduates exposed to this project match identified needs in social work
19___	19___	j) Qualitative output of graduates exposed to this project match identified needs in social work
19___	19___	k) More or better qualified undergraduates enter into graduate SWE as a result of the new or enriched SWE opportunities at the undergraduate level
19___	19___	l) More or better qualified graduates enter the social work field as a result of the new or enriched SWE opportunities
19___	19___	m) Graduates exposed to new or enriched SWE opportunities who enter social work perform better than equivalent graduates lacking such exposure

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S)	All	c. PP FORM, ITEM(S)	All
b. II FORM, ITEM(S)	All	d. CONTINUATION SHEET(S) USED	

ITEM 5
PACKET A-2

Broad Objective Area "A": Curriculum

Primary Objective "2": Add or Enrich Field Instruction

PROJECT PLAN FORM (A-2), page 2

5e. OBJECTIVES	5f. ACTIVITIES AND EVENTS	5g. RESULTS AND ASSESSMENT
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

PROJECT PLAN FORM

(A-2), page 3

5h. ACHIEVEMENT STEPS – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–2 Add or Enrich Field Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Identify the need for new or enriched field instruction
19___	19___	b) Define the nature of new or enriched field instruction
19___	19___	c) Define the nature of benefits expected from new or enriched field instruction
19___	19___	d) Make plans for the introduction of new or enriched field instructional experiences
19___	19___	e) Make positive efforts to establish new or enriched field instruction
19___	19___	f) Successfully establish new or enriched field instruction
19___	19___	g) Increase the institution's capacity for handling students in social work education as a result of new or enriched field instruction
19___	19___	h) Make additional or more important social work knowledge and skills available to students as a result of new or enriched field instruction
19___	19___	i) Attract more applicants of the desired type as a result of the new or enriched field instruction
19___	19___	j) More or better qualified undergraduates enter into graduate social work education as a result of the new or enriched field instruction experiences at the undergraduate level
19___	19___	k) More or better qualified graduates enter the social work field as a result of the new or enriched field instruction experience
19___	19___	l) Graduates exposed to new or enriched field instruction who enter social work perform better than equivalent graduates lacking such exposure.

5.	**PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES**		
a.	**SWER FORM, ITEM(S)** All	**c.**	**PP FORM, ITEM(S)** All
b.	**II FORM, ITEM(S)** All	**d.**	**CONTINUATION SHEET(S) USED**

ITEM 5
Packet A-3

Broad Objective Area "A": Curriculum

Primary Objective "3": Make Offerings More Interdisciplinary

346

PROJECT PLAN FORM

5e. OBJECTIVES **State each objective and any sub-objectives in terms of what is to be accomplished by what date.**	**5f. ACTIVITIES AND EVENTS** **Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.**	**5g. RESULTS AND ASSESSMENT** **Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.**

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

PROJECT PLAN FORM

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–3 Make Offerings More Interdisciplinary
Under Grad	Grad	STEPS TO BE ACHIEVED
19 ___	19 ___	a) Identify additional disciplines that might be represented in SWE
19 ___	19 ___	b) Identify new materials from already-included disciplines that might be represented in SWE
19 ___	19 ___	c) Make positive efforts to represent additional disciplines in SWE
19 ___	19 ___	d) Make positive efforts to include new material from disciplines already included in SWE
19 ___	19 ___	e) Disciplines added by this project are represented in the SWE curriculum
19 ___	19 ___	f) New material from disciplines already included in SWE are represented in the curriculum
19 ___	19 ___	g) Attract more or better qualified applicants as a result of the increased interdisciplinary curriculum
19 ___	19 ___	h) Increase students' social work knowledge and skills as a result of interdisciplinary curriculum
19 ___	19 ___	i) More or better qualified undergraduates enter graduate SWE as a result of more interdisciplinary curriculum at the undergraduate level
19 ___	19 ___	j) More or better qualified graduates enter social work as a result of the more interdisciplinary curriculum
19 ___	19 ___	k) Graduates exposed to interdisciplinary curriculum demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET A-4

Broad Objective Area "A": Curriculum

Primary Objective "4": Add or Enrich Emphasis on Specialized Programs and/or Problems

352

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	5f. ACTIVITIES AND EVENTS Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	5g. RESULTS AND ASSESSMENT Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–4 Add or Enrich Emphasis on Specialized Programs and/or Problems
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Review SWE curriculum to determine appropriateness of adding or enriching emphasis on specialized programs/problems to the SWE experience
19___	19___	b) Identify specialized programs/problems for emphasis in SWE
19___	19___	c) Areas of SWE emphasis to be added match deficiencies that exist between social work requirements and prevailing SWE content
19___	19___	d) Areas of SWE emphasis to be added are compatible with probable future trends in social work
19___	19___	e) Make plans to incorporate new SWE emphasis
19___	19___	f) Incorporate new areas of SWE emphasis
19___	19___	g) Students affected by the project acquire knowledge and skills related to new social work emphasis
19___	19___	h) Students affected by the project achieve new knowledge and skills without sacrificing other needed SWE emphasis
19___	19___	i) Graduates exposed to new areas of social work education emphasis demonstrate relevant knowledge and skills on the job
19___	19___	j) More or better qualified undergraduates enter graduate SWE as a result of the new areas of SWE emphasis at the undergraduate level
19___	19___	k) Graduates exposed to new SWE emphasis demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET A-5

Broad Objective Area "A": Curriculum

Primary Objective "5": Add Dimensions to Social Work Roles

(A-5), page 2

PROJECT PLAN FORM

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	**5f. ACTIVITIES AND EVENTS** Identify* and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	**5g. RESULTS AND ASSESSMENT** Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions oncompleting this sub-Item.

Program Level		Objective A–5 Add Dimensions to Social Work Roles
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Review curriculum to determine appropriateness of reflecting new social work dimensions within the SWE experience
19___	19___	b) Identify new dimensions of the social work role to be added to the SWE experience
19___	19___	c) New dimensions of the social work role to be added to the SWE experience match deficiencies that exist between social work requirements and prevailing SWE content
19___	19___	d) New dimensions of the social work role to be added to the SWE experience are compatible with probable future trends in social work
19___	19___	e) Make plans to incorporate new dimensions of the social work role
19___	19___	f) Incorporate new dimensions of the social work role
19___	19___	g) Students affected by this project acquire knowledge and skills related to the new dimensions of the social work role
19___	19___	h) Students achieve new knowledge and skills relating to the new dimensions of the social work role without sacrificing other needed SWE
19___	19___	i) More or better qualified undergraduates enter graduate SWE as a result of the new dimensions of the social work role added at the undergraduate level
19___	19___	j) Graduates exposed to instruction in new dimensions of the social work role demonstrate relevant knowledge and skills on the job
19___	19___	k) Graduates exposed to instruction in the new dimensions of the social work role demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All
c. PP FORM, ITEM(S) All
b. II FORM, ITEM(S) All
d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET A-6

Broad Objective Area "A": Curriculum

Primary Objective "6": Integrate Levels of Instruction

364

PROJECT PLAN FORM

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	**5f. ACTIVITIES AND EVENTS** Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	**5g. RESULTS AND ASSESSMENT** Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

PROJECT PLAN FORM

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. ACHIEVEMENT STEPS – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–6 Integrate Levels of Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19 ___	19 ___	a) Identify benefits from integrating SWE instructional levels
19 ___	19 ___	b) Make plans for better integration of SWE instructional levels
19 ___	19 ___	c) Make positive efforts to improve integration of SWE instructional levels
19 ___	19 ___	d) Successfully integrate SWE instructional levels
19 ___	19 ___	e) Facilitate students' progress through undergraduate SWE
19 ___	19 ___	f) Facilitate students' progress through graduate SWE
19 ___	19 ___	g) Facilitate entry of own undergraduates into other institutions' graduate SWE programs
19 ___	19 ___	h) Facilitate entry of own undergraduates into own graduate SWE program
19 ___	19 ___	i) Facilitate entry of graduates of other institutions' undergraduate SWE programs into this institution's graduate SWE program
19 ___	19 ___	j) A greater number of graduates exposed to more integrated levels of SWE instruction enter social work than equivalent graduates not so exposed
19 ___	19 ___	k) Graduates exposed to integrated levels of SWE instruction who enter social work perform better than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S)	All	c. PP FORM, ITEM(S)	All
b. II FORM, ITEM(S)	All	d. CONTINUATION SHEET(S) USED	

ITEM 5
PACKET A-7

Broad Objective Area "A": Curriculum

Primary Objective "7": Integrate Modes of Instruction

370

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	**5f. ACTIVITIES AND EVENTS** Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	**5g. RESULTS AND ASSESSMENT** Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

PROJECT PLAN FORM

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

(A-7), page 3

5h. **ACHIEVEMENT STEPS – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.**

Program Level		Objective A–7 Integrate Modes of Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19____	19____	a) Identify benefits from integrating instructional modes
19____	19____	b) Make plans for better integration of instructional modes
19____	19____	c) Make positive efforts to improve integration of instructional modes
19____	19____	d) Successfully integrate instructional modes
19____	19____	e) Reduce the level of student dropout and/or failure as the result of integrating instructional modes
19____	19____	f) Increase the level of students' knowledge and skill as a result of integrating instructional modes
19____	19____	g) More or better qualified undergraduates enter into graduate SWE as a result of integrated instructional modes at the undergraduate level
19____	19____	h) A greater number of graduates exposed to integrated instructional modes enter social work than equivalent graduates not so exposed
19____	19____	i) Graduates exposed to integrated instructional modes who enter social work perform better than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET A-8

Broad Objective Area "A": Curriculum

Primary Objective "8": Develop and Apply Innovative Methods of Instruction

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	5f. ACTIVITIES AND EVENTS Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	5g. RESULTS AND ASSESSMENT Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective A–8 Develop and Apply Innovative Methods of Instruction	
Under Grad	Grad	STEPS TO BE ACHIEVED	
19___	19___	a)	Identify shortcomings of existing instructional methods
19___	19___	b)	Identify potential innovations in instructional methods
19___	19___	c)	Define expected benefits of contemplated innovations in instructional methods
19___	19___	d)	Make plans for the design, development, and implementation of innovations in instructional methods.
19___	19___	e)	Make positive efforts to accomplish innovations in instructional methods
19___	19___	f)	Design and develop innovative methods of instruction
19___	19___	g)	Try out innovative methods of instruction and eliminate deficiencies
19___	19___	h)	Implement and accept innovative instructional methods resulting from this project
19___	19___	i)	Reduce student dropout and/or failure rate by applying innovative instructional methods resulting from this project
19___	19___	j)	Facilitate the acquisition of intended social work knowledge and skills as a result of innovative instructional methods
19___	19___	k)	More or better qualified undergraduates enter graduate SWE as a result of innovative instructional methods at the undergraduate level
19___	19___	l)	More graduates exposed to innovative instructional methods enter social work than equivalent graduates not so exposed
19___	19___	m)	Graduates exposed to innovative instructional methods who enter social work perform better than equivalent graduates not so exposed

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S)	All	c. PP FORM, ITEM(S)	All
b. II FORM, ITEM(S)	All	d. CONTINUATION SHEET(S) USED	

ITEM 5
PACKET B-1

Broad Objective Area "B": Students

Primary Objective "1": Strengthen Student Services

382

5e. OBJECTIVES	5f. ACTIVITIES AND EVENTS	5g. RESULTS AND ASSESSMENT
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the **INTRODUCTION** to Item 5 for instructions on completing this sub-Item.

Program Level		Objective B–1 Strengthen Student Services
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Define the role of outreach and selection services in achieving effective SWE
19___	19___	b) Define the role of in-school services in achieving effective SWE
19___	19___	c) Define the role of placement services in achieving effective SWE
19___	19___	d) Define the relationships among different areas of student services
19___	19___	e) Make plans for improvement of student services
19___	19___	f) Make positive efforts to improve student services
19___	19___	g) Improve student services as a result of this project
19___	19___	h) Greater use made of improved student services by potential students, students, and former students than of student services not affected by the project
19___	19___	i) Increase the quantity and quality of applicants as the result of improved student services
19___	19___	j) Decrease student dropout and/or failure rate, and increase the students' acquisition of knowledge and skill as a result of improved student services
19___	19___	k) A greater proportion of undergraduates exposed to improved student services enter graduate SWE than equivalent undergraduates not so exposed
19___	19___	l) More graduates enter jobs in social work, locate more appropriate jobs and/or locate jobs in reduced time as a result of improved services

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET B-2

Broad Objective Area "B": Students

Primary Objective "2": Make Openings for Minority Students

PROJECT PLAN FORM

5e. OBJECTIVES	5f. ACTIVITIES AND EVENTS	5g. RESULTS AND ASSESSMENT
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

PROJECT PLAN FORM (B-2), page 3

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective B–2 Make Openings for Minority Students
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Define need for positive action to encourage minority students to enroll in SWE
19___	19___	b) Identify special problems of providing opportunities in SWE for minority students
19___	19___	c) Make plans for providing openings for minority students
19___	19___	d) Make positive efforts to increase opportunities for minority students
19___	19___	e) Modify student services to meet the needs of minority students
19___	19___	f) Modify curricula to meet the needs of minority students
19___	19___	g) Orient faculty and supporting staff to the special needs and problems of minority students
19___	19___	h) Increase the number of qualified minority applicants
19___	19___	i) Increase the number of minority students
19___	19___	j) Decrease dropout and/or failure rate of minority students
19___	19___	k) Increase the numbers of minority students who acquire social work knowledge and skills
19___	19___	l) Increase the number of minority students from undergraduate SWE who enter graduate SWE
19___	19___	m) Proportion of minority graduates who enter social work on a par with non-minority graduates
19___	19___	n) Minority graduates affected by this project who enter social work perform on a par with non-minority graduates

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET B-3

Broad Objective Area "B": Students

Primary Objective "3": Make Openings for Disadvantaged Students

5e. OBJECTIVES	5f. ACTIVITIES AND EVENTS	5g. RESULTS AND ASSESSMENT
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. ACHIEVEMENT STEPS – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective B–3 Make Openings For Disadvantaged Students
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Define need for positive action to encourage disadvantaged students to enroll in SWE
19___	19___	b) Identify special problems of providing opportunities in SWE for disadvantaged students
19___	19___	c) Make plans for providing openings for disadvantaged students
19___	19___	d) Make positive efforts to increase opportunities for disadvantaged students
19___	19___	e) Modify student services to meet the needs of disadvantaged students
19___	19___	f) Modify curricula to meet the needs of disadvantaged students
19___	19___	g) Orient faculty and supporting staff to the special needs and problems of disadvantaged students
19___	19___	h) Increase the number of qualified disadvantaged applicants
19___	19___	i) Increase the number of disadvantaged students
19___	19___	j) Decrease dropout and/or failure rate of disadvantaged students
19___	19___	k) Increase the number of disadvantaged students who acquire social work knowledge and skills
19___	19___	l) Increase the number of disadvantaged students from undergraduate SWE who enter graduate SWE
19___	19___	m) Proportion of disadvantaged graduates who enter social work on a par with non-disadvantaged graduates
19___	19___	n) Disadvantaged graduates affected by this project who enter social work perform on a par with non-disadvantaged graduates.

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET C-1

Broad Objective Area "C": Faculty

Primary Objective "1": Develop Faculty Capabilities

400

5e. OBJECTIVES	5f. ACTIVITIES AND EVENTS	5g. RESULTS AND ASSESSMENT
State each objective and any sub-objectives in terms of what is to be accomplished by what date.	Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective C–1 Develop Faculty Capabilities
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Define role of SWE faculty and support personnel in achieving effective SWE
19___	19___	b) Identify knowledge and skill competencies needed to be developed by SWE faculty to achieve effective SWE
19___	19___	c) Make plans to develop knowledge and skill competencies of SWE faculty
19___	19___	d) Make positive efforts to develop knowledge and skill competencies of SWE faculty
19___	19___	e) Needed knowledge and skill competencies developed by SWE faculty
19___	19___	f) Increase the numbers and quality of applicants as a result of developing capabilities of the SWE faculty
19___	19___	g) Improve the students' acquisition of social work knowledge and skills as a result of developed capabilities of the SWE faculty
19___	19___	h) More or better qualified undergraduates enter SWE at the graduate level as a result of the developed capabilities of the undergraduate SWE faculty
19___	19___	i) Increase the number and quality of graduates who enter social work as a result of developed capabilities of the SWE faculty
19___	19___	j) Graduates entering social work perform more effectively as a result of having been exposed to faculty whose capabilities were developed under this project

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET C-2

Broad Objective Area "C": Faculty

Primary Objective "2": Augment Faculty Capabilities

406

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	5f. ACTIVITIES AND EVENTS Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	5g. RESULTS AND ASSESSMENT Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. ACHIEVEMENT STEPS – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective C–2: Augment Faculty Capabilities
Under Grad	Grad	STEPS TO BE ACHIEVED
19____	19____	a) Define role of SWE faculty and support personnel in achieving effective SWE
19____	19____	b) Identify characteristics of additional faculty needed to achieve effective SWE
19____	19____	c) Make plans for recruiting, inducting and orienting additional SWE faculty
19____	19____	d) Make positive efforts to recruit, induct and orient new SWE faculty
19____	19____	e) Successfully recruit new SWE faculty
19____	19____	f) Successfully induct and orient new SWE faculty
19____	19____	g) Increase the numbers and quality of applicants as a result of the additional SWE faculty
19____	19____	h) Improve the students' acquisition of social work knowledge and skills as a result of the additional SWE faculty
19____	19____	i) More or better qualified undergraduates enter SWE at the graduate level as a result of the additional undergraduate SWE faculty
19____	19____	j) Increase the number and quality of graduates who enter social work as a result of the additional SWE faculty
19____	19____	k) Graduates entering social work perform more effectively as a result of having been exposed to faculty whose capabilities were augmented under this project

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ________

ITEM 5
PACKET D-1

Broad Objective Area "D": Strengthen SWE Institutions

Primary Objective "1": Effective Organization and Utilization of Resources

412

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	5f. ACTIVITIES AND EVENTS Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	5g. RESULTS AND ASSESSMENT Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the INTRODUCTION to Item 5 for instructions on completing this sub-Item.

Program Level		Objective D–1: Effective Organization and Utilization of Resources	
Under Grad	Grad	STEPS TO BE ACHIEVED	
19___	19___	a)	Explore and identify existing inter- and intra-institutional resources that can be used for project
19___	19___	b)	Explore and identify non-Federal funding prospects for long-range project continuation
19___	19___	c)	Make plans for combining institutional and cross-institutional resources
19___	19___	d)	Make plans for obtaining alternative/supplemental/subsequent non-Federal funds for long-range project continuation
19___	19___	e)	Make positive efforts to combine institutional resources
19___	19___	f)	Make positive efforts to obtain alternative/supplemental/subsequent non-Federal funds for long-range project continuation
19___	19___	g)	Combine institutional and cross-institutional resources
19___	19___	h)	Obtain collateral non-Federal funds
19___	19___	i)	Make plans to integrate project into rest of institution
19___	19___	j)	Dovetail project with rest of institution

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

a. SWER FORM, ITEM(S) All

c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) All

d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET D-2

Broad Objective Area "D": Strengthen SWE Institutions

Primary Objective "2": Combine Institutional Resources

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	5f. ACTIVITIES AND EVENTS Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	5g. RESULTS AND ASSESSMENT Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

5h. **ACHIEVEMENT STEPS** – Review your objectives, examine your plans for assessment, compare your expected demonstration of results with the following statements of criterion achievements, decide which of the achievements you expect to demonstrate and enter the grant years within which you expect to make the first positive demonstrations that the criteria have been achieved. Refer to the **INTRODUCTION** to Item 5 for instructions on completing this sub-Item.

Program Level		Objective D–2: Combine Institutional Resources
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Explore and identify existing inter- and intra-institutional resources that can be used for project
19___	19___	b) Make review of institutional resources and consider possibilities for joint action on SWE
19___	19___	c) Make plans for application of multi-institutional resources to problems of SWE
19___	19___	d) Make positive efforts to achieve coordinated multi-institutional activity and resources utilization
19___	19___	e) All institutions involved in planned joint efforts functioning effectively
19___	19___	f) Achievement of educational and manpower objectives as a result of inter-institutional cooperation

---

5. PLANNING FOR THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

---

a. SWER FORM, ITEM(S) All c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) All d. CONTINUATION SHEET(S) USED ______

ITEM 5
PACKET 0-1

Broad Objective Area "0": (Specify)

Primary Objective "1": (Specify)

424

5e. OBJECTIVES State each objective and any sub-objectives in terms of what is to be accomplished by what date.	**5f. ACTIVITIES AND EVENTS** Identify and describe activities and events which are planned in order to accomplish the objective(s). Activities and events planned for the immediate grant period should be highly specific; those for subsequent grant periods can be sequentially less detailed.	**5g. RESULTS AND ASSESSMENT** Describe what results you would consider indicative of satisfactory accomplishment of your objective(s). Describe specifically what means of assessment you will use to determine that your stated objective(s) has been achieved.

5e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	5g. RESULTS AND ASSESSMENT (cont.)

PROJECT PLAN FORM

(O-1), page 3

5h. **ACHIEVEMENT STEPS** – If you have stated objectives within the broad area of "Other" (Broad Objective Area and/or Primary Objective), state the achievements you expect to demonstrate showing progression from those which could be accomplished early in the project to those which could be accomplished later.

Program Level		Objective O–1 Specify (refer to Introduction to Item 5 for instructions on completing this sub-Item)
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a)
19___	19___	b)
19___	19___	c)
19___	19___	d)
19___	19___	e)
19___	19___	f)
19___	19___	g)
19___	19___	h)

429

Section III
Impediments to Interaction

ITEMS 6, 7

The introduction of a project into a social work education program or institution, like other changes, has the potential of generating untoward reactions by and/or initiating some improvement in the relationships among parties significantly related to the institution or program (students, teaching staff, administration, agencies, and community.) The two Items in this Section direct the attention of the applicant to a consideration of these two possible developments.

---

6. REDUCTION OF IMPEDIMENTS TO INTERACTION

a. SWER FORM, ITEM(S)____________		c. PP FORM ITEM(S) ____________	
b. II FORM, ITEM(S) ____________		d. CONTINUATION SHEET(S) USED ______	

6. Are there any current barriers to the interaction between and among students, teaching staff, administration, agencies, and community which you think will be reduced as a result of this project? (Check the appropriate space below)

a._____Yes b._____No

If Yes, please describe briefly the barriers and ways in which you expect this project to act to reduce them:

430

---

7. EMERGENCE OF IMPEDIMENTS TO INTERACTION

---

a. SWER FORM, ITEM(S) ____________ c. PP FORM, ITEM(S) ____________

b. II FORM, ITEM(S) ____________ d. CONTINUATION SHEET(S) USED ______

---

7. Do you anticipate any impediments to the interaction between and among students, teaching staff, administration, agencies, and community arising in the course of or as a result of this project? (Check the appropriate space below)

a._____ Yes b._____ No

If Yes, please identify each potential impediment and describe your strategy for coping with it:

Section IV
Administrative Support Activities

ITEMS 8 - 18

Although you may have included in your narrative discussion of Item 5 a number of activities and events that were administrative in nature, the twelve Items in this Section request that you relate to certain specified information. These Items serve as an expanded checklisting for both project personnel and reviewers.

The content of the Items in this Section is not exhaustive of the variety of administrative aspects of developing, sustaining, and integrating a project within an existing structure and social work education program. The purpose of including these support activities in a separate Section of the PROJECT PLAN FORM is to call attention to a number of basic administrative concerns that should be considered by project personnel in their planning for the project. A review of these and other areas may help project personnel identify ways in which the project plan may be strengthened.

Please discuss the information requested as appropriate to your social work education program and to your project.

8. ADMINISTRATIVE SUPPORT ACTIVITIES: INTERACTION OF PROJECT WITH CURRICULUM

a. SWER FORM, ITEM(S) 10, 11, 14, 16, 17

c. PP FORM, ITEM(S) 1,4-7,10,13,15,16,21,22

b. II FORM, ITEM(S) 15, 17-31

d. CONTINUATION SHEET(S) USED ______

8. Identify the administrative supports planned for inter-relating the experiences and accomplishments of the project with your existing curriculum.

9. ADMINISTRATIVE SUPPORT ACTIVITIES: SOCIAL WORK EDUCATION CAPABILITIES

a. SWER FORM, ITEM(S) ______

c. PP FORM, ITEM(S) 5

b. II FORM, ITEM(S) ______

d. CONTINUATION SHEET(S) USED ______

9. Has action been taken or have explicit plans been made to obtain support for the social work education capabilities developed by this project?

a.______Yes; b.______No;

Explain:

433

PROJECT PLAN FORM

---

10. ADMINISTRATIVE SUPPORT ACTIVITIES: INTERACTION OF SCHOOL WITH INSTITUTION, COMMUNITY, AND OTHER PLANS AND PROJECTS IN SCHOOL

a. SWER FORM, ITEM(S) 10, 11, 14, 16, 17
b. II FORM, ITEM(S) 4, 13, 20, 25, 28, 31
c. PP FORM, ITEM(S) 1, 3-8, 13, 15, 16, 22
d. CONTINUATION SHEET(S) USED ______

---

10. Identify the administrative supports planned to facilitate the interaction of this project with other existing or planned projects, with your host institution, and with your significant community (agencies, client groups, etc.).

---

11. ADMINISTRATIVE SUPPORT ACTIVITIES: INTERPROJECT RELATIONSHIPS

a. SWER FORM, ITEM(S) ______
b. II FORM, ITEM(S) ______
c. PP FORM, ITEM(S) 5
d. CONTINUATION SHEET(S) USED ______

---

11. Do the activities covered in this plan depend upon prior or concurrent activities under some other project?

a.______Yes; b.______No;

If yes, identify the other project(s) and describe the nature of the dependence.

12. ADMINISTRATIVE SUPPORT ACTIVITIES: OTHER PROJECT RELATIONSHIPS

a. SWER FORM, ITEM(S) ____ c. PP FORM, ITEM(S) 5

b. II FORM, ITEM(S) ____ d. CONTINUATION SHEET(S) USED ____

12. Does any other project depend upon the activities and accomplishments covered in this plan?

a.____Yes; b.____No;

If Yes, identify the other project(s) and describe the nature of the dependence.

13. ADMINISTRATIVE SUPPORT ACTIVITIES: LOCATING, OBTAINING, DEPLOYING, AND ORGANIZING RESOURCES

a. SWER FORM, ITEM(S) ____ c. PP FORM, ITEM(S) 1,3,5,8,10,14-16,20,22

b. II FORM, ITEM(S) 6,8,31 d. CONTINUATION SHEET(S) USED ____

13. Identify the administrative supports planned for locating, obtaining, deploying, and organizing resources necessary for the accomplishment of the project's objectives. Discuss plans for utilization of existing resources - institutional, community, social work, and social work education technologies.

14. ADMINISTRATIVE SUPPORT ACTIVITIES: FISCAL MANAGEMENT SUPPORT INFORMATION

a. SWER FORM, ITEM(S) ______ c. PP FORM, ITEM(S) 1, 3, 5, 22

b. II FORM, ITEM(S) ______ d. CONTINUATION SHEET(S) USED ______

14. If you have plans for cost analysis of the project efforts, please discuss them.

15. ADMINISTRATIVE SUPPORT ACTIVITIES: REPORTING

a. SWER FORM, ITEM(S) 4, 18-27 c. PP FORM, ITEM(S) 1,3,5,8,10,13-14,16,22

b. II FORM, ITEM(S) ______ d. CONTINUATION SHEET(S) USED ______

15. Identify the administrative supports planned for the compilation, organization, and circulation of interim and final reports of project accomplishments. Identify the recipients of these reports.

16. ADMINISTRATIVE SUPPORT ACTIVITIES: RESEARCH, EVALUATION, FOLLOW-UP, AND DATA PROCESSING

a. SWER FORM, ITEM(S) All

b. II FORM, ITEM(S) ________

c. PP FORM, ITEM(S) 1,3,5,8,10,13-15,21,22

d. CONTINUATION SHEET(S) USED ________

16. Identify the administrative supports planned for developing and utilizing research and assessment processes with respect to the project. Discuss plans for project assessment and for updating of project assessment data.

17. ADMINISTRATIVE SUPPORT ACTIVITIES: CONTINUITY OF PROJECT LEADERSHIP

a. SWER FORM, ITEM(S) ________

b. II FORM, ITEM(S) ________

c. PP FORM, ITEM(S) 1, 3, 5, 22

d. CONTINUATION SHEET(S) USED ________

17. Identify the administrative supports planned to maintain continuity of project leadership.

PROJECT PLAN FORM

18. ADMINISTRATIVE SUPPORT ACTIVITIES: CONTINGENCY PLANNING

a. SWER FORM, ITEM(S)		c. PP FORM, ITEM(S)	5
b. II FORM, ITEM(S)		d. CONTINUATION SHEET(S) USED	

18. If SRS is unable to provide funds to support plans presented here, what alternatives have you identified for carrying out all or any portion of those plans?

438

Section V
Estimation of Funding, Students Affected, and Activities of Faculty

ITEMS 19, 20, 21, 22

The Items in this Section relate to estimations in the specific areas of (1) funding of major objectives of the project, (2) numbers of students who will be affected by the project, and (3) activities of faculty members funded by the project. Together, the information supplied by these Items provides an overview of your planning in terms of some basic ingredients of education: funds, faculty, and students. A portion of the information called for in this Section has been supplied already; here the request is for the applicant to pull out of narrative statements developed for preceding Items a set of estimates in relation to the three areas named above. This information enables the reviewer to understand specific activities discussed earlier in a larger context and frame of reference. It is a framework based on quantity rather than quality of activities and in this sense it helps to convey information of "how much" and "how many."

Item 19 and Item 20 are related on the basis of planning priorities and the budgeting for the project. Its purpose is to have the applicant consider the several PRIMARY OBJECTIVES to which his project has applicability (on the basis of the objectives he has presented and discussed earlier) in terms of the appropriate BROAD OBJECTIVE AREAS so that he can present the pattern of his priorities for each grant year and how the budgeting within the project takes these priorities into account.

The purpose of Item 21 is for the applicant to present his projections relative to the number of students who will be directly affected by the project. This information is requested in order to provide the reviewer an opportunity to identify the extent to which the project will reach into the student population, particularly the students identified with an ethnic minority group. The estimate provided by the applicant should be a non-duplicated count, disregarding the fact that a particular student may be affected by the project in only one or more than one way.

The purpose of including Item 22 is to obtain information that would enable the reviewer to observe the pattern of faculty activities related to the project as well as to ascertain the educational degree levels represented among those faculty who will be funded. Some of the information provided in the table will be related to budget data already developed in connection with specific plans for funding faculty assigned to this project.

Please use CONTINUATION SHEETS as needed to present narrative information in connection with any of the table data.

PROJECT PLAN FORM

19.. **RANK ORDERING OF BROAD OBJECTIVE AREAS**

---

a. SWER FORM ITEM(S) ______________ c. PP FORM, ITEM(S) 1, 5, 20, 22

b. II FORM, ITEM(S) 4 d. CONTINUATION SHEET(S) USED ______

---

19. Rank order the BROAD OBJECTIVE AREAS shown below in terms of their relative importance during each grant year of your project (space is provided here only for the first five grant years). For each year and program level, rank order each BROAD OBJECTIVE AREA from most imperative (indicated by the numeral "1") to least imperative. Ranks assigned may shift from grant year to grant year because the achievement of some PRIMARY OBJECTIVES within the BROAD OBJECTIVE AREA may be prerequisite to the achievement of other BROAD OBJECTIVE AREAS.

Use the extreme left column(s) to enter ranks for your first grant year and inset the appropriate grant year, e.g., 1974. Use a ____ to indicate BROAD OBJECTIVE AREAS that are not applicable to your project.

BROAD OBJECTIVE AREA	GRANT YEAR AND PROGRAM LEVEL									
	19____		19____		19____		19____		19____	
	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad
A–Curriculum										
B–Students										
C–Faculty										
D–SWE Institutions										
0–Other (specify)										

20. FUNDING OF PROJECT

a. SWER FORM ITEM(S) ______________ c. PP FORM, ITEM(S) 1, 5, 13, 14, 19, 22

b. II FORM, ITEM(S) ______________ d. CONTINUATION SHEET(S) USED ______

20. The table accompanying this Item should be used to enter *estimated* direct cost (from SRS sources and from all other sources taken together) to be allocated for the accomplishment of the BROAD OBJECTIVE AREAS applicable to your project. For a given grant (fiscal) year and program level, enter the SRS funds required to achieve the PRIMARY OBJECTIVE(S) in the BROAD OBJECTIVE AREA ranked "1" in Item 19. Add the SRS funds to other funds, if any, and enter under TOTAL FUNDS for the BROAD OBJECTIVE area being considered. Continue estimating the ADDITIONAL SRS and other funds required to achieve each successively lower-ranked BROAD OBJECTIVE AREA until estimates have been entered for all relevant BROAD OBJECTIVE AREAS for each grant (fiscal) year and program level. The abbreviation "FY" in the extreme left column in the table refers to fiscal year.

PROJECTED FUNDING (SRS AND OTHER) OF BROAD OBJECTIVE AREA
BY PROGRAM LEVEL AND GRANT YEAR

GRANT YEARS	PROGRAM LEVEL	Curriculum		SWE Institutions		Students		Faculty		Other (Specify)	
		SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS
ALL	Undergraduate										
	Graduate										
	TOTAL–ALL YEARS										
FY–	Undergraduate										
	Graduate										
	TOTAL– 1st YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–2nd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–3rd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–4th YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–5th YEAR										

PROJECT PLAN FORM

21. STUDENTS AFFECTED BY PROJECT

a. SWER FORM ITEM(S) ______________ c. PP FORM, ITEM(S) ________________

b. II FORM, ITEM(S) ______________ d. CONTINUATION SHEET(S) USED _______

21. Record in the table on the next page your estimates of the numbers of students who will be directly affected by the project in each of the first five grant years and the level of the academic degree towards which these students will be working at the time they will be in contact with the project. (Being "directly affected by the project" can include taking courses designed and/or taught with project funds, making use of services developed under and/or supported by project funds, etc.) Enter your estimates in the columns of the table as follows:

Row "a" through "i." Estimate the numbers of *declared* students from each of the different ethnic backgrounds who will be directly affected by the project. Consider any student *declared* who has expressed an intention to obtain a degree (or has already committed himself to the social work education program) with his principal concentration in social work education as a major or as a minor. Include "unknown" ethnic background in the category of "Other." Enter the total of *declared* students (equal to the sum of rows "b" through "i") in row "a." Make your estimates for each of the first five grant years.

Enter your estimates only in the appropriate spaces. Please leave blank those spaces not relevant to your project.

Item 20 (continued)

PROJECTED FUNDING (SRS AND OTHER) OF BROAD OBJECTIVE AREA

BY PROGRAM LEVEL AND GRANT YEAR

GRANT YEARS	PROGRAM LEVEL	Curriculum		SWE Institutions		Students		Faculty		Other (Specify)	
		SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS
ALL	Undergraduate										
	Graduate										
	TOTAL–ALL YEARS										
FY–	Undergraduate										
	Graduate										
	TOTAL– 1st YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–2nd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–3rd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–4th YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–5th YEAR										

PROJECT PLAN FORM

21. STUDENTS AFFECTED BY PROJECT (BY ETHNIC BACKGROUND AND DEGREE OBJECTIVE, ESTIMATE ONLY) IN EACH GRANT YEAR

ETHNIC BACKGROUND	Grant Year 19____				Grant Year 19____				Grant Year 19____				Grant Year 19____				Grant Year 19____			
	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate
a) TOTAL																				
b) American Indian																				
c) Black																				
d) Chicano																				
e) Puerto Rican																				
f) Asian American																				
g) Other U.S.																				
h) Foreign																				
i) Other (specify)																				

22. PROJECT-RELATED ACTIVITIES OF FACULTY

a.	SWER FORM, ITEM(S) ______	c.	PP FORM, ITEM(S) 1, 5, 8, 10, 14-17, 19-21
b.	II FORM, ITEM(S) 8	d.	CONTINUATION SHEET(S) USED -

22. Record in the table on the next page your estimates of full-time equivalent faculty who will be paid out of SRS funds for the project.

Row "a." Full-time equivalence should be computed as the total number of faculty project hours paid by SRS project funds divided by the total hours normally required of a full-time faculty member. In the column "N" indicate the actual number of faculty persons at the degree level and in the activity area who will be paid by SRS funds for the project. Estimate full-time equivalent faculty for each of the first five grant years and for each of the undergraduate (Undergrad) and graduate (Grad) aspects of the project. Enter your estimates in the rows of the table as follows:

Rows "b" through "e." Estimate the full-time equivalent faculty by the highest degree held. Where faculty members may hold a Master's in social work (or equivalent professional degree at that level) and another Master's, indicate their time under "Master's in Social Work."

Rows "f" through "m." Estimate the full-time equivalent faculty who will be engaged in different types of faculty project activities.

Note that the estimate of total full-time equivalent faculty (columns "EQ") to be paid by project funds should equal the sum of rows "b" through "e" and should also equal the sum of rows "f" through "m."

Terms of equivalence should be presented in decimal notation.

Please check if you are estimating your faculty on a____nine-month appointment or____eleven-month appointment.

ESTIMATES OF FULL-TIME EQUIVALENT FACULTY TO BE PAID BY SRS PROJECT FUNDING

Highest Degree Held and Area of Activity of Faculty Funded by SRS Project		GRANT YEAR AND EDUCATIONAL LEVEL OF ACTUAL AND FULL-TIME EQUIVALENT FACULTY																			
		First Grant Year 19____				Second Grant Year 19____				Third Grant Year 19____				Fourth Grant Year 19____				Fifth Grant Year 19____			
		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad	
		EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N
a) Total (Actual Faculty (N) and Full-time Equivalents (EQ))																					
HIGHEST DEGREE	b) Doctorate																				
	c) MSW																				
	d) Master's (Other)																				
	e) Other																				
AREA OF ACTIVITY	f) Class Instruction																				
	g) Field Instruction/Sup.																				
	h) Curriculum Development																				
	i) Student Services																				
	j) Faculty Development																				
	k) Project Administration																				
	l) Assessment																				
	m) Other (specify):																				

23. INTERPRETIVE STATEMENT AND SUMMARY

a. SWER FORM, ITEM(S) ____________

c. PP FORM, ITEM(S) All

b. II FORM, ITEM(S) ____________

d. CONTINUATION SHEET(S) USED ______

23. Please use this Item to discuss any aspect of your planning for the project that has not been requested in any of the preceding Items and which you consider to be pertinent.

APPENDIX E

PROJECT ACCOMPLISHMENT FORM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Social and Rehabilitation Service

PROJECT ACCOMPLISHMENT FORM

Project Identification Information

I. Identification and Address of Applicant School (all applicable levels, e.g., department, school, division, campus, institution):

II. Project Title:

III. Level of Program (check all appropriate): Undergraduate____ Graduate____

IV. Project Director (or person currently assigned project responsibility) (name, title, full mailing address, telephone number):

V. Person(s) Responsible for Completing This Form (omit if same as above; otherwise give name, title, full mailing address, telephone number):

VI. Signature and Title of Person Authorized to Sign for Institution:

____________________ ____________________
Signature Date

452

TABLE OF CONTENTS

Item Content	*Item*	*Page*	*Continuation Sheets Used*
Introduction		197	
General Instructions		197	
Section I: Context and Changing Dimensions of the Project Plan		199	
Type of Report	1	200	( )
Time Span of Report	2	200	( )
Barriers to Achievement	3	200	( )
Changes in Institutional Inventory Information	4	201	( )
Changes in Social Work Education Requirements Information	5	202	( )
Changes in Project Plan	6	203	( )
Section II: Reporting the Achievement of the Project's Objectives		204	
Reporting the Achievement of the Project's Objectives	7	204	( )
Section III: Funding, Students Affected, and Faculty Activities: Experience and Estimates		269	
Rank Ordering of Broad Objective Areas	8	270	( )
Changes in Rank Ordering of Broad Objective Areas—Present Reporting Period	9	271	( )
Changes in Projected Rank Ordering of Broad Objective Areas	10	271	( )
Funding of Project	11	272	( )
Funding of Project (cont.)	11	273	( )
Changes in Funding of Project	12	274	( )
Supplemental Information—Funding of Project	13	274	( )
Students Affected by Project	14	275	( )
Students Affected by Project (cont.)	14	276	( )
Changes in "Students Affected by Project"	15	277	( )
Project-Related Activities of Faculty	16	278	( )
Project-Related Activities of Faculty (cont.)	16	279	( )
Changes in Project-Related Activities of Faculty	17	280	( )
Supplemental Information	18	280	( )
Interpretive Summary	19	281	( )

Introduction

The PROJECT ACCOMPLISHMENT FORM is to be used by institutions to describe progress and achievements of projects funded by training funds through the Social and Rehabilitation Service. Where more than one institution is involved in a project, such as under a consortium arrangement, complete only one PROJECT ACCOMPLISHMENT FORM and indicate specifically in the narrative the institution referred to. Submit separate tabular data for each of the participating institutions as appropriate.

The PROJECT ACCOMPLISHMENT FORM consists of 3 Sections covering 18 Items. The Table of Contents presents the titles of the Sections and the content of the Items subsumed under each Section. Throughout the PROJECT ACCOMPLISHMENT FORM, the major area of each Section is discussed as a preface to the subsequent Items. Directions are provided as necessary for the completion of each Item.

The PROJECT ACCOMPLISHMENT FORM is designed to provide a comprehensive and relatively standardized description of the results of a project on a year-to-year basis while allowing the project director maximum freedom to define what achievements he considers to be most significant. For the most part, this FORM is the major companion document to the PROJECT PLAN FORM. For example, the four-page packets for each of the Primary Objective Areas are included in this FORM in order to provide for a discussion of the attainment of the objectives scheduled for the reporting period. In a number of instances, particularly in Section III, information submitted earlier in the PROJECT PLAN FORM as estimates can be shown in this FORM as real data. Provision is made also for the extension and/or revision of previous estimates.

General Instructions

In some instances, you will be asked to complete certain headings for tables. Furthermore, if your project and/or your program includes undergraduate and graduate program levels, please specify in your narrative the program level to which your narrative is directed. Please use any space in the Item before using a CONTINUATION SHEET.

Under each Item title throughout the FORM is an insert "CONTINUATION SHEET(S) USED." Provide in this space the number of CONTINUATION SHEETS you used to discuss more fully the information requested in the Item noted. When you use a CONTINUATION SHEET for any Item, indicate this by placing the number of CONTINUATION SHEETS used in the parentheses opposite the title of the Item under the heading "Continuation Sheets Used" in the Table of Contents.

PROJECT ACCOMPLISHMENT FORM

In responding to the Items, please use whatever combination of formats (narrative, tabular, graphic) you think will best convey the information. The source of the information on which you base your replies should be indicated. Do not hesitate to use informal sources or your own best judgment. When presenting judgmental information, you may wish to indicate whether you are reflecting the dominant opinion of your institution, of social welfare and rehabilitation agencies in your area, or your own opinion.

Section I
Context and Changing Dimensions of the Project Plan

ITEMS 1, 2, 3, 4, 5, 6

The first two Items in this Section place the report of project accomplishment in a perspective with respect to the time-span of the project. The third Item provides for discussion of barriers to achievement of project objectives that were encountered. The fourth and fifth Items provide an opportunity to indicate whether changes in the information contained in the Institutional Inventory and Social Work Education Requirements Forms, respectively, during the reporting period, have implications for interpreting material in the remaining two Sections.

Item 6 is addressed to changes in the planning of the project that may have occurred during the reporting period. This omnibus Item should be used to note any changes with respect to information referenced in the PROJECT PLAN FORM, Items 5 through 18.

PROJECT ACCOMPLISHMENT FORM

1. TYPE OF REPORT

CONTINUATION SHEET(S) USED______________________

1. Please place a check (✓) opposite the statement indicating the type of report this is:

___a. Final report describing project's accomplishments for the entire project period

___b. Progress report describing project's accomplishments for single grant (fiscal) year

___c. Interim report during a grant (fiscal) year

If this is an interim report, please state its purpose:

2. TIME SPAN OF REPORT

CONTINUATION SHEET(S) USED______________________

2. Please indicate the period of time covered by this report and check (✓) the grant year to which this report has reference:

a. Time period covered: From__________ through ____________

b. Grant year of project: ( ) 1st; ( ) 2nd; ( ) 3rd; ( ) 4th; ( ) 5th

3. BARRIERS TO ACHIEVEMENT

CONTINUATION SHEET(S) USED______________________

3. Describe any problem areas or barriers to achievement encountered during the period covered by this report:

4. CHANGES IN INSTITUTIONAL INVENTORY INFORMATION

CONTINUATION SHEET(S) USED ____________________

4. Please check (✓) if there are any changes in the information contained in your Institutional Inventory (II) Form which have implications for interpretation of the information contained in this report of project accomplishment:

( ) a. Yes; ( ) b. No

If Yes, and changes are comprehensive of a major portion of the II Form, enclose a revised II Form and check ( ) "c" below:

( ) c. Revised II Form: enclosed

If Yes, and changes are not substantial, use the space provided in this Item to provide the revised information and indicate the II Form Item number(s) to which the revised information has reference.

---

5. CHANGES IN SOCIAL WORK EDUCATION REQUIREMENTS INFORMATION

CONTINUATION SHEET(S) USED ____________________

---

5. Please check (✓) if there are any changes in the information contained in your Social Work Education Requirements (SWER) Form which have implications for interpretation of the information contained in this report of project accomplishment:

( ) a. Yes; ( ) b. No

If Yes, and changes are comprehensive of a major portion of the SWER Form, enclosed a revised SWER Form and check ( ) "c" below:

( ) c. Revised SWER Form enclosed

If Yes, and changes are not substantial, use the space provided in this Item to provide the revised information and indicate the SWER Form Item number(s) to which the revised information has reference.

6. CHANGES IN PROJECT PLAN

CONTINUATION SHEET(S) USED______________________

6. Please indicate for the period of time covered by this report if there are any changes in your project plan by placing a check (✓) opposite the appropriate statement(s) below:

___a. No change
___b. Change in Broad Objective Area (Item 5(A-O), PP Form)
___c. Change in Primary Objective Area (Item 5 (A-1 through O-1), PP Form
___d. Change in schedule of Achievement Steps (Item 5h, PP Form)
___e. Change in Administrative Support Activities (Items 8-18, PP Form)
___f. Other changes (please specify)
___g. Revised Project Plan Form enclosed

Use this Item to describe briefly the nature of the changes in your project plan. Please reference the appropriate PP Form Item number(s) in your narrative. If you consider any of the changes to be major, enclose a revised Project Plan Form in addition to your brief narrative and check (✓) "g" above.

Section II
Reporting the Achievement of the Project's Objectives

ITEM 7

This Section consists entirely of Item 7 which contains the identical 16 four-page packets that were part of the Project Plan Form (Item 5e-5h). The focus of Item 7 is the communication of your project's accomplishments with respect to those objectives, activities and events, and assessment(s) of results (1) which you described in the Project Plan Form (Item 5e-5g) and (2) which you expected would enable you to demonstrate the accomplishment of the Achievement Step(s) within this reporting period for the Primary Objective Area(s) you previously submitted.

In completing this part of the Project Accomplishment Form, use only the Item 7 four-page packets (A-1 through O-1) that correspond to the Primary Objective Area(s) packets you submitted in your Project Plan Form.

Item 7e-7g (requesting information in the same areas as Item 5e-5g of the Project Plan Form) should be used for your discussion of what has been accomplished during this reporting period. Item 7h (presenting the same set(s) of Achievement Step(s) as Item 5h of the Project Plan Form) is to be completed only for the Achievement Step(s) you expected to demonstrate within this reporting period.

For each of the Item 7 packets matching the Primary Objective Area(s) of your project plan, examine your objectives, activities and events, and assessment(s) results. On the basis of this examination, decide if you have accomplished the Achievement Step(s) appropriate to your schedule for the reporting period. If the step has been achieved, indicate this by inserting the grant year (e.g., 1974) of this accomplishment in the column to the left of the statement of the Achievement Step for all applicable levels of program (Graduate and/or Undergraduate.)

Make no entry for Achievement Steps not yet demonstrated or not to be demonstrated within your project plan. Achievement Steps scheduled for the reporting period but not accomplished in the reporting period should be discussed in Item 6 of this Form.

Completion of your project plan will be demonstrated on the basis of your having demonstrated all lower-level Achievement Steps appropriate to your project plan.

The remainder of this Section contains 16 Item 7 four-page packets of Primary Objective Areas.

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-1

Broad Objective Area "A": Curriculum

Primary Objective "1": Add or Enrich Social Work Education Opportunities Other Than Field Instruction

7e. OBJECTIVES List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	**7f. ACTIVITIES AND EVENTS** Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	**7g. RESULTS AND ASSESSMENT** Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–1 Add or Enrich Social Work Education Opportunities Other Than Field Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19____	19____	a) Identify the need for new or enriched SWE opportunities
19____	19____	b) Define the nature of the new or enriched SWE opportunities
19____	19____	c) Define the nature of benefits expected from new or enriched SWE opportunities
19____	19____	d) Make plans for the introduction of new or enriched SWE opportunities
19____	19____	e) Make positive efforts to establish new or enriched SWE opportunities
19____	19____	f) Successfully establish new or enriched SWE opportunities
19____	19____	g) Increase the institution's capacity for handling students in SWE as a result of adding or enriching SWE opportunities
19____	19____	h) Estimates of output of SWE provided under this project take into account probable alternative SWE opportunities that would have emerged without the project
19____	19____	i) Quantitative output of graduates exposed to this project match identified needs in social work
19____	19____	j) Qualitative output of graduates exposed to this project match identified needs in social work
19____	19____	k) More or better qualified undergraduates enter into graduate SWE as a result of the new or enriched SWE opportunities at the undergraduate level
19____	19____	l) More or better qualified graduates enter the social work field as a result of the new or enriched SWE opportunities
19____	19____	m) Graduates exposed to new or enriched SWE opportunities who enter social work performs better than equivalent graduates lacking such exposure

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-2

Broad Objective Area "A": Curriculum

Primary Objective "2": Add or Enrich Field Instruction

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

PROJECT ACCOMPLISHMENT FORM (A-2), page 3

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–2 Add or Enrich Field Instruction	
Under Grad	Grad		STEPS TO BE ACHIEVED
19___	19___	a)	Identify the need for new or enriched field instruction
19___	19___	b)	Define the nature of new or enriched field instruction
19___	19___	c)	Define the nature of benefits expected from new or enriched field instruction
19___	19___	d)	Make plans for the introduction of new or enriched field instructional experiences
19___	19___	e)	Make positive efforts to establish new or enriched field instruction
19___	19___	f)	Successfully establish new or enriched field instruction
19___	19___	g)	Increase the institution's capacity for handling students in social work education as a result of new or enriched field instruction
19___	19___	h)	Make additional or more important social work knowledge and skills available to students as a result of new or enriched field instruction
19___	19___	i)	Attract more applicants of the desired type as a result of the new or enriched field instruction
19___	19___	j)	More or better qualified undergraduates enter into graduate social work education as a result of the new or enriched field instruction experiences at the undergraduate level
19___	19___	k)	More or better qualified graduates enter the social work field as a result of the new or enriched field instruction experience
19___	19___	l)	Graduates exposed to new or enriched field instruction who enter social work perform better than equivalent graduates lacking such exposure

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-3

Broad Objective Area "A": Curriculum

Primary Objective "3": Make Offerings More Interdisciplinary

7e. **OBJECTIVES** List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	7f. **ACTIVITIES AND EVENTS** Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	7g. **RESULTS AND ASSESSMENT** Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–3 Make Offerings More Interdisciplinary
Under Grad	Grad	STEPS TO BE ACHIEVED
19___	19___	a) Identify additional disciplines that might be represented in SWE
19___	19___	b) Identify new materials from already-included disciplines that might be represented in SWE
19___	19___	c) Make positive efforts to represent additional disciplines in SWE
19___	19___	d) Make positive efforts to include new material from disciplines already included in SWE
19___	19___	e) Disciplines added by this project are represented in the SWE curriculum
19___	19___	f) New material from disciplines already included in SWE are represented in the curriculum
19___	19___	g) Attract more or better qualified applicants as a result of the increased interdisciplinary curriculum developed
19___	19___	h) Increase students' social work knowledge and skills as a result of interdisciplinary curriculum
19___	19___	i) More or better qualified undergraduates enter graduate SWE as a result of more interdisciplinary curriculum at the undergraduate level
19___	19___	j) More or better qualified graduates enter social work as a result of the more interdisciplinary curriculum
19___	19___	k) Graduates exposed to interdisciplinary curriculum demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-4

Broad Objective Area "A": Curriculum

Primary Objective "4": Add or Enrich Emphasis on Specialized Programs and/or Problems

480

PROJECT ACCOMPLISHMENT FORM

7e. OBJECTIVES List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	7f. ACTIVITIES AND EVENTS Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	7g. RESULTS AND ASSESSMENT Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-item.

Program Level		Objective A–4 Add or Enrich Emphasis on Specialized Programs and/or Problems	
Under Grad	Grad		STEPS TO BE ACHIEVED
19___	19___	a)	Review SWE curriculum to determine appropriateness of adding or enriching emphasis on specialized program/problems to the SWE experience
19___	19___	b)	Identify specialized programs/problems for emphasis in SWE
19___	19___	c)	Areas of SWE emphasis to be added match deficiencies that exist between social work requirements and prevailing SWE content
19___	19___	d)	Areas of SWE emphasis to be added are compatible with probable future trends in social work
19___	19___	e)	Make plans to incorporate new SWE emphasis
19___	19___	f)	Incorporate new areas of SWE emphasis
19___	19___	g)	Students affected by the project acquire knowledge and skills related to new social work emphasis
19___	19___	h)	Students affected by the project achieve new knowledge and skills without sacrificing other needed SWE emphasis
19___	19___	i)	Graduates exposed to new areas of social work education emphasis demonstrate relevant knowledge and skills on the job
19___	19___	j)	More or better qualified undergraduates enter graduate SWE as a result of the new areas of SWE emphasis at the undergraduate level
19___	19___	k)	Graduates exposed to new SWE emphasis demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-5

Broad Objective Area "A": Curriculum

Primary Objective "5": Add Dimensions to Social Work Roles

PROJECT ACCOMPLISHMENT FORM

7e. **OBJECTIVES** List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	7f. **ACTIVITIES AND EVENTS** Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	7g. **RESULTS AND ASSESSMENT** Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

PROJECT ACCOMPLISHMENT FORM (A-5), page 3

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments. compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–5 Add Dimensions to Social Work Roles
Under Grad	Grad	STEPS TO BE ACHIEVED
19 ___	19___	a) Review curriculum to determine appropriateness of reflecting new social work dimensions within the SWE experience
19 ___	19___	b) Identify new dimensions of the social work role to be added to the SWE experience
19 ___	19___	c) New dimensions of the social work role to be added to the SWE experience match deficiencies that exist between social work requirements and prevailing SWE content
19 ___	19___	d) New dimensions of the social work role to be added to the SWE experience are compatible with probable future trends in social work
19 ___	19___	e) Make plans to incorporate new dimensions of the social work role into the SWE experience
19 ___	19___	f) Incorporate new dimensions of the social work role into the SWE experience
19 ___	19___	g) Students affected by this project acquire knowledge and skills related to the new dimensions of the social work role
19 ___	19___	h) Students achieve new knowledge and skills relating to the new dimensions of the social work role without sacrificing other needed SWE
19 ___	19___	i) More or better qualified undergraduates enter graduate SWE as a result of the new dimensions of the social work role added at the undergraduate level
19 ___	19___	j) Graduates exposed to instruction in new dimensions of the social work role demonstrate relevant knowledge and skills on the job
19 ___	19___	k) Graduates exposed to instruction in the new dimensions of the social work role demonstrate relevant knowledge and skills on the job to a greater extent than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-6

Broad Objective Area "A": Curriculum

Primary Objective "6": Integrate Levels of Instruction

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

PROJECT ACCOMPLISHMENT FORM

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–6 Integrate Levels of Instruction
Under Grad	Grad	STEPS TO BE ACHIEVED
19____	19____	a) Identify benefits from integrating SWE instructional levels
19____	19____	b) Make plans for better integration of SWE instructional levels
19____	19____	c) Make positive efforts to improve integration of SWE instructional levels
19____	19____	d) Successfully integrate SWE instructional levels
19____	19____	e) Facilitate students' progress through undergraduate SWE
19____	19____	f) Facilitate students' progress through graduate SWE
19____	19____	g) Facilitate entry of own undergraduates into other institutions' graduate SWE programs
19____	19____	h) Facilitate entry of own undergraduates into own graduate SWE program
19____	19____	i) Facilitate entry of graduates of other institutions' undergraduate SWE programs into this institution's graduate SWE program
19____	19____	j) A greater number of graduates exposed to more integrated levels of SWE instruction enter social work than equivalent graduates not so exposed
19____	19____	k) Graduates exposed to integrated levels of SWE instruction who enter social work perform better than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-7

Broad Objective Area "A": Curriculum

Primary Objective "7": Integrate Modes of Instruction

7e. OBJECTIVES List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	**7f. ACTIVITIES AND EVENTS** Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	**7g. RESULTS AND ASSESSMENT** Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–7 Integrate Modes of Instruction	
Under Grad	Grad		STEPS TO BE ACHIEVED
19 ___	19 ___	a)	Identify benefits from integrating instructional modes
19 ___	19 ___	b)	Make plans for better integration of instructional modes
19 ___	19 ___	c)	Make positive efforts to improve integration of instructional modes
19 ___	19 ___	d)	Successfully integrate instructional modes
19 ___	19 ___	e)	Reduce the level of student dropout and/or failure as the result of integrating instructional modes
19 ___	19 ___	f)	Increase the level of students' knowledge and skill as a result of integrating instructional modes
19 ___	19 ___	g)	More or better qualified undergraduates entering graduate SWE as a result of integrated instructional modes at the undergraduate level
19 ___	19 ___	h)	A greater number of graduates exposed to integrated instructional modes enter social work than equivalent graduates not so exposed
19 ___	19 ___	i)	Graduates exposed to integrated instructional modes who enter social work perform better than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET A-8

Broad Objective Area "A": Curriculum

Primary Objective "8": Develop and Apply Innovative Methods of Instruction

PROJECT ACCOMPLISHMENT FORM

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective A–8 Develop and Apply Innovative Methods of Instruction	
Under Grad	Grad		STEPS TO BE ACHIEVED
19___	19___	a)	Identify shortcomings of existing instructional methods
19___	19___	b)	Identify potential innovations in instructional methods
19___	19___	c)	Define expected benefits of contemplated innovations in instructional methods
19___	19___	d)	Make plans for the design, development, and the implementation of innovations in instructional methods
19___	19___	e)	Make positive efforts to accomplish innovations in instructional methods
19___	19___	f)	Design and develop innovative methods of instruction
19___	19___	g)	Try out innovative methods of instruction and eliminate deficiencies
19___	19___	h)	Implement and accept innovative instructional methods resulting from this project
19___	19___	i)	Reduce student dropout and/or failure rate by applying innovative instructional methods resulting from this project
19___	19___	j)	Facilitate the acquisition of intended social work knowledge and skills as a result of innovative instructional methods
19___	19___	k)	More or better qualified undergraduates enter graduate SWE as a result of innovative instructional methods at the undergraduate level
19___	19___	l)	More graduates exposed to innovative instructional methods enter social work than equivalent graduates not so exposed
19___	19___	m)	Graduates exposed to innovative instructional methods who enter social work perform better than equivalent graduates not so exposed

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET B-1

Broad Objective Area "B": Students

Primary Objective "1": Strengthen Student Services

(B-1), page 2 PROJECT ACCOMPLISHMENT FORM

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective B–1 Strengthen Student Services	
Under Grad	Grad		STEPS TO BE ACHIEVED
19___	19___	a)	Define the role of outreach and selection services in achieving effective SWE
19___	19___	b)	Define the role of in-school services in achieving effective SWE
19___	19___	c)	Define the role of placement services in achieving effective SWE
19___	19___	d)	Define the relationships among different areas of student services
19___	19___	e)	Make plans for improvement of student services
19___	19___	f)	Make positive efforts to improve student services
19___	19___	g)	Improve student services as a result of this project
19___	19___	h)	Greater use made of improved student services by potential students, students, and former students than of student services not affected by the project.
19___	19___	i)	Increase the quantity and quality of applicants as the result of improved student services
19___	19___	j)	Decrease student dropout and/or failure rate, and increase the students' acquisition of knowledge and skill as a result of improved student services
19___	19___	k)	A greater proportion of undergraduates exposed to improved student services enter graduate SWE than equivalent undergraduates not so exposed
19___	19___	l)	More graduates enter jobs in social work, locate more appropriate jobs and/or locate jobs in reduced time as a result of improved student services

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET B-2

Broad Objective Area "B": Students

Primary Objective "2": Make Openings For Minority Students

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective B–2 Make Openings for Minority Students	
Under Grad	Grad	STEPS TO BE ACHIEVED	
19___	19___	a)	Define needs for positive action to encourage minority students to enroll in SWE
19___	19___	b)	Identify special problems of providing opportunities in SWE for minority students
19___	19___	c)	Make plans for providing openings for minority students
19___	19___	d)	Make positive efforts to increase opportunities for minority students
19___	19___	e)	Modify student services to meet the needs of minority students
19___	19___	f)	Modify curricula to meet the needs of minority students
19___	19___	g)	Orient faculty and supporting staff to the special needs and problems of minority students
19___	19___	h)	Increase the number of qualified minority applicants
19___	19___	i)	Increase the number of minority students
19___	19___	j)	Decrease dropout and/or failure rate of minority students
19___	19___	k)	Increase the number of minority students who acquire social work knowledge and skills
19___	19___	l)	Increase the number of minority students from undergraduate SWE who enter graduate SWE
19___	19___	m)	Proportion of minority graduates who enter social work on a par with non-minority graduates
19___	19___	n)	Minority graduates affected by this project who enter social work perform on a par with non-minority graduates

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET B-3

Broad Objective Area "B": Students

Primary Objective "3": Make Openings For Disadvantaged Students

7e. OBJECTIVES List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	**7f. ACTIVITIES AND EVENTS** Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	**7g. RESULTS AND ASSESSMENT** Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. ACHIEVEMENT STEPS – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective B–3 Make Openings for Disadvantaged Students	
Under Grad	Grad		STEPS TO BE ACHIEVED
19___	19___	a)	Define need for positive action to encourage disadvantaged students to enroll in SWE
19___	19___	b)	Identify special problems of providing opportunities in SWE for disadvantaged students
19___	19___	c)	Make plans for providing openings for disadvantaged students
19___	19___	d)	Make positive efforts to increase opportunities for disadvantaged students
19___	19___	e)	Modify student services to meet the needs of disadvantaged students
19___	19___	f)	Modify curricula to meet the needs of disadvantaged students
19___	19___	g)	Orient faculty and supporting staff to the special needs and problems of disadvantaged students
19___	19___	h)	Increase the number of qualified disadvantaged applicants
19___	19___	i)	Increase the number of disadvantaged students
19___	19___	j)	Decrease dropout and/or failure rate of disadvantaged students
19___	19___	k)	Increase the number of disadvantaged students who acquire social work knowledge and skills
19___	19___	l)	Increase the number of disadvantaged students from undergraduate SWE who enter graduate SWE
19___	19___	m)	Proportion of disadvantaged graduates who enter social work on a par with non-disadvantaged graduates
19___	19___	n)	Disadvantaged graduates affected by this project who enter social work perform on a par with non-disadvantaged graduates

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET C-1

Broad Objective Area "C": Faculty

Primary Objective "1": Develop Faculty Capabilities

528

PROJECT ACCOMPLISHMENT FORM

(C-1), page 2

7e. **OBJECTIVES**	7f. **ACTIVITIES AND EVENTS**	7g. **RESULTS AND ASSESSMENT**
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

PROJECT ACCOMPLISHMENT FORM (C-1), page 3

7h. ACHIEVEMENT STEPS – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Project Level		Objective C–1 Develop Faculty Capabilities
Under Grad	Grad	STEPS TO BE ACHIEVED
19 ____	19 ____	a) Define role of SWE faculty and support personnel in achieving effective SWE
19 ____	19 ____	b) Identify knowledge and skill competencies needed to be developed by SWE faculty to achieve effective SWE
19 ____	19 ____	c) Make plans to develop knowledge and skill competencies of SWE faculty
19 ____	19 ____	d) Make positive efforts to develop knowledge and skill competencies of SWE faculty
19 ____	19 ____	e) Needed knowledge and skill competencies developed by SWE faculty
19 ____	19 ____	f) Increase the numbers and quality of applicants as a result of developing capabilities of the SWE faculty
19 ____	19 ____	g) Improve the students' acquisition of social work knowledge and skills as a result of developed capabilities of the SWE faculty
19 ____	19 ____	h) More or better qualified undergraduates enter SWE at the graduate level as a result of the developed capabilities of the undergraduate SWE faculty
19 ____	19 ____	i) Increase the number and quality of graduates who enter social work as a result of developed capabilities of the SWE faculty
19 ____	19 ____	j) Graduates entering social work perform more effectively as a result of having been exposed to faculty whose capabilities were developed under this project

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET C-2

Broad Objective Area "C": Faculty

Primary Objective "2": Augment Faculty Capabilities

PROJECT ACCOMPLISHMENT FORM

OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
objectives. State each objective and ectives in terms of what is to be ned by what date. (The objectives are should be identical to those stated r Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. ACHIEVEMENT STEPS – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective C–2 Augment Faculty Capabilities	
Under Grad	Grad	STEPS TO BE ACHIEVED	
19 ___	19 ___	a)	Define role of SWE faculty and support personnel in achieving effective SWE
19 ___	19 ___	b)	Identify characteristics of additional faculty needed to achieve effective SWE
19 ___	19 ___	c)	Make plans for recruiting, inducting and orienting additional SWE faculty
19 ___	19 ___	d)	Make positive efforts to recruit, induct and orient new SWE faculty
19 ___	19 ___	e)	Successfully recruit new SWE faculty
19 ___	19 ___	f)	Successfully induct and orient new SWE faculty
19 ___	19 ___	g)	Increase the numbers and quality of applicants as a result of the additional SWE faculty
19 ___	19 ___	h)	Improve the students' acquisition of social work knowledge and skills as a result of the additional SWE faculty
19 ___	19 ___	i)	More or better qualified undergraduates enter SWE at the graduate level as a result of the additional undergraduate SWE faculty
19 ___	19 ___	j)	Increase the number and quality of graduates who enter social work as a result of the additional SWE faculty
19 ___	19 ___	k)	Graduates entering social work perform more effectively as a result of having been exposed to faculty whose capabilities were augmented under this project

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET D-1

Broad Objective Area "D": Strengthen SWE Institutions

Primary Objective "1": Effective Organization and Utilization of Resources

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

PROJECT ACCOMPLISHMENT FORM

7e. OBJECTIVES (cont.)	5f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

(D-1), page 3

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective D–1 Effective Organization and Utilization of Resources
Under Grad	Grad	STEPS TO BE ACHIEVED
19 ___	19 ___	a) Explore and identify existing inter-and intra-institutional resources that can be used for project
19 ___	19 ___	b) Explore and identify non-Federal funding prospects for long-range project continuation
19 ___	19 ___	c) Make plans for combining institutional and cross-institutional resources
19 ___	19 ___	d) Make plans for obtaining alternative/supplemental/subsequent non-Federal funds for long-range project continuation
19 ___	19 ___	e) Make positive efforts to combine institutional resources
19 ___	19 ___	f) Make positive efforts to obtain alternative/supplemental/subsequent non-Federal funds for long-range project continuation
19 ___	19 ___	g) Combine institutional and cross-institutional resources
19 ___	19 ___	h) Obtain collateral non-Federal funds
19 ___	19 ___	i) Make plans to integrate project into rest of institution
19 ___	19 ___	j) Dovetail project with rest of institution

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET D-2

Broad Objective Area "D": Strengthen SWE Institutions

Primary Objective - "2": Combine Institutional Resources

546

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – Review your objectives, examine your assessments, compare your demonstration of results with the following statements of criterion achievements, decide which of the achievements you demonstrated and enter the grant year within which you made the first positive demonstrations that the criteria were achieved. Refer to the INTRODUCTION to Item 7 for instructions on completing this sub-Item.

Program Level		Objective D–2 Combine Institutional Resources	
Under Grad	Grad	STEPS TO BE ACHIEVED	
19___	19___	a)	Explore and identify existing inter- and intra-institutional resources that can be used for project
19___	19___	b)	Make review of institutional resources and consider possibilities for joint action on SWE
19___	19___	c)	Make plans for application of multi-institutional resources to problems of SWE
19___	19___	d)	Make positive efforts to achieve coordinated multi-institutional activity and resources utilization
19___	19___	e)	All institutions involved in planned joint efforts functioning effectively
19___	19___	f)	Achievement of educational and manpower objectives as a result of inter-institutional cooperation

7. REPORTING THE ACHIEVEMENT OF THE PROJECT'S OBJECTIVES

ITEM 7
PACKET O-1

Broad Objective Area "O": (Specify)

Primary Objective "1": (Specify)

PROJECT ACCOMPLISHMENT FORM

7e. OBJECTIVES	7f. ACTIVITIES AND EVENTS	7g. RESULTS AND ASSESSMENT
List your objectives. State each objective and any sub-objectives in terms of what is to be accomplished by what date. (The objectives stated here should be identical to those stated in your Project Plan Form under Item 5e.)	Describe your progress in relation to the schedule of activities and events described in the Project Plan Form (5f.) Progress toward more immediate goals – such as those covered by the time period of this report – should be more specific than that reported for more distant or subsequent objectives.	Describe what means of assessment was used to determine accomplishment. Indicate what results you would consider indicative of satisfactory accomplishment and whether this level of result has been achieved or not.

7e. OBJECTIVES (cont.)	7f. ACTIVITIES AND EVENTS (cont.)	7g. RESULTS AND ASSESSMENT (cont.)

7h. **ACHIEVEMENT STEPS** – If you have stated objectives within the broad area of "Other" (Broad Objective Area and/or Primary Objective), state the accomplishments you have demonstrated to progress from those which were accomplished early in the project to those which were accomplished later. Indicate the grant year in which you have made the first positive demonstration that the criteria were achieved.

Program Level		Objective O–1 Specify (refer to Introduction to Item 7 for instructions on completing this sub-Item) STEPS TO BE ACHIEVED
Under Grad	Grad	
19 ___	19___	a)
19 ___	19___	b)
19 ___	19___	c)
19 ___	19___	d)
19 ___	19___	e)
19 ___	19___	f)
19 ___	19___	g)
19 ___	19___	h)

Section III
Funding, Students Affected, and Faculty Activities: Experience and Estimates

ITEMS 8 through 19

The first twelve Items in this Section relate to experiences during the reporting period in the major areas of (1) funding of the major objectives of the project, (2) numbers of students affected by the project, and (3) activities of faculty members funded by the project. Together, the information supplied in these twelve Items provides an overview of your experiences during the reporting period with respect to these three aspects of the educational programs: funds, students, and faculty. The information requested in these first twelve Items is referenced to Items 19 through 22 of the PROJECT PLAN FORM.

In addition to providing an opportunity for the discussion and implications of actual experience during the reporting period, some Items request that the project director indicate (1) his projections for an additional grant year beyond those submitted in the PROJECT PLAN FORM, and (2) any revisions of estimates.

The last two Items in this Section provide an opportunity for a discussion of any aspects of the relationship between the expected and the achieved dimensions of the project plan not covered in earlier Items and an opportunity for an interpretive summary of the highlights of the accomplishments during the reporting period.

PROJECT ACCOMPLISHMENT FORM

8. RANK ORDERING OF BROAD OBJECTIVE AREAS

CONTINUATION SHEET(S) USED ____________________

8. On the basis of your project's accomplishments and your continuing plans for your project, rank order the BROAD OBJECTIVE AREAS shown below in terms of their relative importance during the most recent and the remaining grant year(s) of your project (space is provided here only for a span of five grant years). For each year and program level, rank order each BROAD OBJECTIVE AREA from the most imperative (indicated by the numeral "1") to least imperative. Ranks assigned may shift from grant year to grant year because the achievement of some PRIMARY OBJECTIVES within the BROAD OBJECTIVE AREA may be prerequisite to the achievement of other BROAD OBJECTIVE AREAS.

Use the extreme left column(s) to enter ranks for the grant year of this reporting period and insert the appropriate grant year, e.g., 1974, in the column heads. Use a____ to indicate BROAD OBJECTIVE AREAS that are not applicable to your project.

BROAD OBJECTIVE AREA	GRANT YEAR AND PROGRAM LEVEL									
	19____		19____		19____		19____		19____	
	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad	Under Grad	Grad
A–Curriculum										
B–Students										
C–Faculty										
D–SWE Institutions										
O–Other (specify)										

---

9. CHANGES IN RANK ORDERING OF BROAD OBJECTIVE AREAS – PRESENT REPORTING PERIOD

CONTINUATION SHEET(S) USED ______________________

---

9. Please check (√) below whether there are significant differences between the information reported in Item 8 for this reporting period (other than the information for additional grant years) and information supplied in Item 19 of the Project Plan Form or in information provided in Item 8 of your most recent Project Accomplishment Form:

( ) a. No significant differences
( ) b. Significant differences present

If "b," use this space to describe the differences and the reasons for the differences.

---

10. CHANGES IN PROJECTED RANK ORDERING OF BROAD OBJECTIVE AREAS

CONTINUATION SHEET(S) USED ______________________

---

10. Please check (√) below whether there are significant differences between the information reported in Item 8 for the subsequent years and information supplied in Item 19 of the Project Plan Form or in information provided in Item 8 of your most recent Project Accomplishments Form:

( ) a. No significant differences
( ) b. Significant differences present

If "b," use this space to describe the differences and the reasons for the differences.

---

11. FUNDING OF PROJECT

CONTINUATION SHEET(S) USED ____________________

---

11. Record your actual direct costs of the project (SRS funds and SRS plus all other funds) for the reporting period and for all previous reporting periods in the table on the next page. Also, supply estimates of direct costs of the project (SRS and SRS plus all other funds) to be allocated for the accomplishment of the BROAD OBJECTIVE AREA(S) applicable to your project for the remaining grant years of your project.

In reporting your *actual* direct costs for the present reporting period, (for all appropriate program levels,) enter the actual SRS funds expended to achieve the PRIMARY OBJECTIVE(S) in the BROAD OBJECTIVE AREA ranked "1" in Item 8. Add the actual SRS funds used to all other funds used to achieve these PRIMARY OBJECTIVES, if any, and enter under "TOTAL FUNDS" for that BROAD OBJECTIVE AREA. Consider the *additional* SRS funds used to accomplish the next ranked BROAD OBJECTIVE AREA for this reporting period and enter that amount under "SRS FUNDS" for that BROAD OBJECTIVE AREA. Add this amount to all other *additional* funds used to accomplish that BROAD OBJECTIVE AREA and enter this total amount under "TOTAL FUNDS" for that BROAD OBJECTIVE AREA. Continue doing this successively for all remaining BROAD OBJECTIVE AREAS relevant to your project.

In submitting your estimates of costs for the remaining grant years in your project, consider the BROAD OBJECTIVE AREA ranked "1" in Item 8, for the grant year immediately following that in the present reporting period. Enter your estimate of the SRS funds needed to achieve the PRIMARY OBJECTIVE(S) in this BROAD OBJECTIVE AREA (keeping in mind all program levels.) Add this estimated amount to your estimate of all other additional funds required to achieve the PRIMARY OBJECTIVE(S) in the BROAD OBJECTIVE AREA being considered and enter this combined amount under "TOTAL FUNDS" in the appropriate column(s). Continue estimating the *additional* SRS and the *additional* other funds needed to accomplish the PRIMARY OBJECTIVE(S) in the BROAD OBJECTIVE AREA ranked next in Item 8 for the grant year under consideration. Continue doing this successively for all remaining BROAD OBJECTIVE AREAS relevant to your project for each of the remaining grant years.

When entering actual direct costs to achieve PRIMARY OBJECTIVE(S) in BROAD OBJECTIVE AREAS for all *previous grant years*, use the tabled information you submitted on previous Project Accomplishment Form(s) for the grant year(s) under consideration. Thus, the information you provide for the actual direct costs for the present reporting period should be used next year as a record of costs for this year.

PROJECT ACCOMPLISHMENT FORM

Item 11 (continued)

ACTUAL AND PROJECTED FUNDING (SRS AND OTHER) OF BROAD OBJECTIVE AREA BY PROGRAM LEVEL AND GRANT YEAR

GRANT YEARS	PROGRAM LEVEL	Curriculum		SWE Institutions		Students		Faculty		Other (Specify)	
		SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS	SRS FUNDS	TOTAL FUNDS
ALL	Undergraduate										
	Graduate										
	TOTAL–ALL YEARS										
FY–	Undergraduate										
	Graduate										
	TOTAL–1st YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–2nd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–3rd YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–4th YEAR										
FY–	Undergraduate										
	Graduate										
	TOTAL–5th YEAR										

---

12. CHANGES IN FUNDING OF PROJECT

CONTINUATION SHEET(S) USED ____________________

---

12. Please check (√) below whether there are major discrepancies between expenditures reported in Item 11 for this reporting period and estimated costs reported in Item 20 of the Project Plan Form for this same period of time or in information provided in Item 11 of your most recent Project Accomplishment Form:

( ) a. No major discrepancies
( ) b. Major discrepancies present

If "b," determine whether a *revision* of the Project Plan Form or a *partial* Project Plan Form is required, and enclose appropriate record(s). (A *revision* of the Project Plan Form is required when replacement of all or part of a prior application carries implications for SRS funding. A *partial* Project Plan Form modifies a prior project plan without implications for SRS funding.) Please check (√) below whether you are submitting a *revised* or *partial* Project Plan Form:

( ) c. Revised Project Plan Form enclosed
( ) d. Partial Project Plan Form enclosed

Please use this space for your brief discussion of any noted discrepancies:

---

13. SUPPLEMENTAL INFORMATION – FUNDING OF PROJECT

CONTINUATION SHEET(S) USED ____________________

---

13. Please check (√) if there is anything important about interdependencies among direct costs expended for BROAD OBJECTIVE AREAS which has not been reflected in your answers to previous Items in this Form.

( ) a. All important information already referred to in previous Items
( ) b. Additional discussion necessary. (Use space below for your narrative.)

---

14. STUDENTS AFFECTED BY PROJECT

CONTINUATION SHEET(S) USED ____________________

---

14. Please check (✓) below whether there are significant differences between this information and information supplied in Item 21 of the Project Plan Form or in information provided in Item 14 of your most recent Project Accomplishment Form:

( ) a. No significant differences
( ) b. Significant differences present

If "b," use this space to describe the differences and the reasons for the differences.

PROJECT ACCOMPLISHMENT FORM

14 STUDENTS AFFECTED BY PROJECT (BY ETHNIC BACKGROUND AND DEGREE OBJECTIVE, ESTIMATE ONLY) IN EACH GRANT YEAR

ETHNIC BACKGROUND	Grant Year 19____				Grant Year 19____				Grant Year 19____				Grant Year 19____				Grant Year 19____			
	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate	Associate	Baccalaureate	Masters	Doctorate
a) TOTAL																				
b) American Indian																				
c) Black																				
d) Chicano																				
e) Puerto Rican																				
f) Asian American																				
g) Other U.S.																				
h) Foreign																				
i) Other (specify)																				

15. CHANGES IN "STUDENTS AFFECTED BY PROJECT"

CONTINUATION SHEET(S) USED ____________________

15. Please check (✓) below whether there are significant differences between the information reported in Item 14 for this reporting period (other than the information for additional grant years) and information supplied in Item 21 of the Project Plan Form or in information provided in Item 14 of your most recent Project Accomplishment Form:

( ) a. No significant differences
( ) b. Significant differences present

If "b," use this space to describe the differences and the reasons for the differences.

16. PROJECT-RELATED ACTIVITIES OF FACULTY

CONTINUATION SHEET(S) USED ______________________

16. Record in the table on the next page the full-time equivalent faculty who were paid out of SRS funds for the project during the present reporting period. Use the extreme left-hand major section of four columns to record this information. Use the remaining four major sections to record your estimates of full-time equivalent faculty who will be paid out of SRS funds for the project during the next four years of your project. Indicate the grant year as appropriate (e.g., 1974) for all major sections.

Row "a." Full-time equivalence should be computed as the total number of faculty project hours paid by SRS project funds divided by the total hours normally required of a full-time faculty member. In the column "N" indicate the actual number of faculty persons at the degree level and in the activity area who will be or were paid by SRS funds for the project. Estimate or compute full-time equivalent faculty for each of the five grant years and for each of the undergraduate (Undergrad) and graduate (Grad) aspects of the project. Enter your estimates or computations in the rows of the table as follows:

Rows "b" through "e." Estimate or compute the full-time equivalent faculty by the highest degree held. Where faculty members may hold a Master's in social work (or equivalent professional degree at that level) and another Master's, indicate their time under "Master's in Social Work."

Rows "f" through "m." Estimate or compute the full-time equivalent faculty who will be or were engaged in different types of faculty project activities.

Note that the estimate of total full-time equivalent faculty (columns "EQ") paid or to be paid by project funds should equal the sum of rows "b" through "e" and should also equal the sum of rows "f" through "m."

Terms of equivalence should be presented in decimal notation.

Please check if you are estimating or computing your faculty on a ___nine-month appointment or ___eleven-month appointment.

Item 16 (continued)

ESTIMATES OF FULL-TIME EQUIVALENT FACULTY TO BE PAID BY SRS PROJECT FUNDING

Highest Degree Held and Area of Activity of Faculty Funded by SRS Project		GRANT YEAR AND EDUCATIONAL LEVEL OF ACTUAL AND FULL-TIME EQUIVALENT FACULTY																			
		First Grant Year 19____				Second Grant Year 19____				Third Grant Year 19____				Fourth Grant Year 19____				Fifth Grant Year 19____			
		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad		Under Grad		Grad	
		EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N	EQ	N
a) Total (Actual Faculty (N) and Full-time Equivalents (EQ))																					
HIGHEST DEGREE	b) Doctorate																				
	c) MSW																				
	d) Master's (Other)																				
	e) Other																				
AREA OF ACTIVITY	f) Class Instruction																				
	g) Field Instruction/Sup.																				
	h) Curriculum Development																				
	i) Student Services																				
	j) Faculty Development																				
	k) Project Administration																				
	l) Assessment																				
	m) Other (specify)																				

---

17. CHANGES IN PROJECT-RELATED ACTIVITIES OF FACULTY

CONTINUATION SHEET(S) USED____________________

---

17. Please check (√) below whether there are significant differences between the information reported in Item 16 for this reporting period (other than the information for additional grant years) and information supplied in Item 22 of the Project Plan Form or in information provided in Item 16 for your most recent Project Accomplishment Form:

( ) a. No significant differences
( ) b. Significant differences present

If "b," use this space to describe the differences and the reasons for the differences.

---

18. SUPPLEMENTAL INFORMATION

CONTINUATION SHEET(S) USED____________________

---

18. Are there any other important achievements or differences between your achievements and plans which have not been reflected in your answers to previous Items in this Form? (Please check (√) the appropriate space)

( ) a. All important information already referred to in previous Items
( ) b. Additional discussion necessary. (Use space below for your narrative.)

PROJECT ACCOMPLISHMENT FORM

---

19. INTERPRETIVE SUMMARY

CONTINUATION SHEET(S) USED ____________________

---

19. Use this space to provide an interpretive summary of this report of project accomplishment. Highlight what you consider to be the most essential points. Your summary may draw upon information internal and/or external to data already submitted as part of the Planning and Assessment System.

☆U.S. GOVERNMENT PRINTING OFFICE: 1976 627-740/610 1-3